



The following Motion and Document was considered by the GFC Academic Planning Committee at its February 8, 2012 meeting:

Agenda Title: **University of Alberta's Comprehensive Institutional Plan (CIP) (2012)**

APPROVED MOTION: THAT the GFC Academic Planning Committee recommend to the Board of Governors the 2012 University of Alberta Comprehensive Institutional Plan (CIP), as provided by the President's Executive Committee and as set forth in Attachment 1, with the exception of information pertinent to Ancillary Services' budgets which is not within the purview of GFC APC to consider and/or recommend, to take effect upon final approval.

Final Recommended Item: 4

OUTLINE OF ISSUE

Agenda Title: **University of Alberta's Comprehensive Institutional Plan (CIP) (2012)**

Motion: THAT the GFC Academic Planning Committee recommend to the Board of Governors the *2012 University of Alberta Comprehensive Institutional Plan (CIP)*, as provided by the President's Executive Committee and as set forth in Attachment 1, with the exception of information pertinent to Ancillary Services' budgets which is not within the purview of GFC APC to consider and/or recommend, to take effect upon final approval.

Item

Action Requested	<input type="checkbox"/> Approval <input checked="" type="checkbox"/> Recommendation <input type="checkbox"/> Discussion/Advice <input checked="" type="checkbox"/> Information
Proposed by	Provost and Vice-President (Academic) Carl Amrhein; Vice-President (University Relations) Debra Pozega Osburn; Vice-President (Finance and Administration) Phyllis Clark; Vice-President (Facilities and Operations) Don Hickey; and Vice-President (Research) Lorne Babiuk
Presenters	Provost and Vice-President (Academic) Carl Amrhein; Vice-President (University Relations) Debra Pozega Osburn; Vice-President (Finance and Administration) Phyllis Clark; Vice-President (Facilities and Operations) Don Hickey; and Vice-President (Research) Lorne Babiuk
Subject	2012 University of Alberta's Comprehensive Institutional Plan (CIP)

Details

Responsibility	Provost and Vice-President (Academic); Vice-President (University Relations); Vice-President (Research); Vice-President (Finance and Administration); and Vice-President (Facilities and Operations)
The Purpose of the Proposal is (please be specific)	Under guidelines from Advanced Education and Technology (AET), the University of Alberta has prepared the Comprehensive Institutional Plan (CIP) that incorporates the University's access plan, research plan, capital plan, and budgets into one comprehensive document. The CIP is for approval by the Board of Governors and is then filed with the appropriate Ministries of the Provincial Government. The CIP is written in support of the University's vision and mission as outlined in <i>Dare to Discover</i> and its Academic Plan, <i>Dare to Deliver</i> . The CIP outlines the University's academic and research priorities as articulated in the Academic Chapter, which in turn drives the University's capital and resource allocation priorities.
The Impact of the Proposal is	To enable the University to move toward fulfilling its vision and mission and to authorize the Administration to allocate resources as outlined in the institutional budgets.
Replaces/Revises (eg, policies, resolutions)	CIP 2011.
Timeline/Implementation Date	Fiscal year 2012-2013.
Estimated Cost	See attached documentation for detail.
Sources of Funding	See attached documentation for detail.
Notes	N/A

Alignment/Compliance

Alignment with Guiding Documents	<i>Dare to Discover</i> and <i>Dare to Deliver</i>
Compliance with Legislation,	1. Post-Secondary Learning Act (PSLA) Section 26(1) states:

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<p>Policy and/or Procedure Relevant to the Proposal (please <u>quote</u> legislation and include identifying section numbers)</p>	<p>“Subject 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 [...]</p> <p>(o) make recommendations to the board with respect to affiliation with other institutions, academic planning, campus planning, a building program, the budget [...] and any other matters considered by the general faculties council to be of interest to the university[.] [...]”</p> <p>2. Post-Secondary Learning Act (PSLA) Section 78 states:</p> <p>“Business plans</p> <p>78(1) Each year a board must prepare and approve a business plan that includes</p> <p>(a) the budget, and</p> <p>(b) any other information required by the Minister.</p> <p>(2) The business plan approved under subsection (1) must be submitted to the Minister on or before the date specified by the Minister.</p> <p>[...]</p> <p>Access plan</p> <p>78.1 Each year a board must prepare an access plan in accordance with the regulations and submit it to the Minister on or before the date specified by the Minister.”</p> <p>3. Post-Secondary Learning Act (PSLA) Section 80 states: “The board must submit to the Minister any reports or other information required by the Minister.”</p> <p>4. Board Finance and Property Committee (BFPC) Terms of Reference, Section 3.c. states that the Committee shall “[...] review and recommend to the Board the annual and other budgets and major issues of policy related to budgets[.] [...]”</p> <p>5. Board Learning and Discovery Committee (BLDC) Terms of Reference/Mandate of the Committee (Section 3): “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.</p>
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	<p>Without limiting the generality of the foregoing the Committee shall: [...] f. undertake studies and review academic matters that pertain to the quality of the educational experience at the University; g. monitor educational and research trends, community expectations and demands; [...] i. ensure that the academic teaching and research activities at the University are administered and undertaken in a manner consistent with the vision and mission of the University; j. consider future educational expectations and challenges to be faced by the University; [...] m. review recommendations of GFC Academic Planning Committee concerning the Comprehensive Institutional Plan (CIP) and/or a similar document as required, and make recommendations to the Board in respect thereof[.] [...]"</p> <p>6. GFC Academic Planning Committee Terms of Reference/3. Mandate of the Committee: "The Academic Planning Committee (APC) is GFC's senior committee dealing with academic, financial and planning issues. [...]</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>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.</p> <p>[...]</p> <p>4. Budget Matters [...]</p> <p>b. To recommend to the Board of Governors on the annual budget, excluding budgets for ancillary units."</p>
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Routing (Include meeting dates)

Consultative Route (parties who have seen the proposal and in what capacity)	Board Learning and Discovery Meeting (BLDC) (briefing) – November 21, 2011; President's Executive Committee (PEC) (review of draft) – January 13, 2012; Board of Governors (briefing) – February 10, 2012
Approval Route (Governance) (including meeting dates)	GFC Academic Planning Committee (for recommendation) – February 8, 2012; Board Learning and Discovery Committee (BLDC) (for recommendation on the Academic Chapter) – February 27, 2012; Board Finance and Property Committee (for recommendation) – February 28, 2012; Board of Governors (for final approval) – March 16, 2012
Final Approver	Board of Governors

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Attachments (each to be numbered 1 - <>):

Attachment 1: 2012 University of Alberta Comprehensive Institutional Plan (pages 1 – 158)

Prepared by: Andrea Smith, Senior Administrative Officer (SAO), Office of the Vice-President (University Relations), andrea.smith@ualberta.ca

Revised: 2/15/2012



Interdepartmental Correspondence

Date: February 3, 2012

To: Academic Planning Committee (GFC)

From: Carl Amrhein, Provost and Vice-President (Academic)

Cc:

Re: **Comprehensive Institutional Plan for Recommendation February 8, 2012**

Please find attached a DRAFT of the 2012 Comprehensive Institutional Plan. While the document is still subject to some fine tuning of the text and design, the full draft (including key chapters covering the academic overview, capital plan, and institutional budget) is ready for APC to read and review for the purposes of recommendation on February 8, 2012. Please note that the release of the provincial budget on February 9, 2012 may result in updates to the institutional budget.

A handwritten signature in blue ink, appearing to read "Carl Amrhein".



2012 Comprehensive Institutional Plan

DRAFT

February 3, 2012

Under preparation for:
The Ministry of Advanced Education and Technology
Government of Alberta

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Executive Summary

In periods of uncertainty and change, a bold vision for the future is essential. The University of Alberta has such a vision: to be one of the world's top public universities for the public good. This vision is tied to the future—a knowledge-based future characterized by blurring international boundaries, intensifying economic competition, and urgent global challenges. Yet, this vision is also deeply rooted in the history and traditions of the University of Alberta. More than 100 years ago, President Henry Marshall Tory used his first convocation address to commit our institution to the uplifting of the whole people and the whole province.

President Tory's promise highlights the role that the U of A strives to play in communities across the province, nation and world. As the flagship institution in the Campus Alberta system, we cooperate with our partner institutions to create pathways to learning for all Albertans. Ground-breaking research conducted at the university contributes to a more diversified and environmentally sustainable Alberta economy as well as an enhanced quality of life.

Most importantly, the quality of teaching and learning at the institution equips our students with the tools to be active and engaged citizens and leaders. As Premier Redford noted in her State of the Province Address, "there is no better investment of public funds than in learning. Without a skilled and highly educated workforce, we will not attract the cutting-edge companies to carry out research and development, much less the finest minds to lead it. We need outstanding schools and post-secondary institutions."

We *need* outstanding schools and post-secondary institutions because knowledge, creativity, innovation, and entrepreneurialism are now the global currency. Highly skilled people are the pre-eminent natural resource and education essential to every prosperous society.

Alberta has built a strong foundation of excellence in education from kindergarten through post-secondary and this province is recognized as a place where pioneering talent and innovation can flourish, but we must not become complacent. While Alberta is strong, it faces competition from global competitors, such as India and China, where millions of young, talented people are flocking to higher education as never before and where strategic investments are being made in their respective post-secondary education systems.

As has been the case for more than a century, the University of Alberta can and will deliver the talent, ideas, innovations, and highly-skilled graduates the province needs. We have a proven history of being a major contributor and creator of Alberta's competitiveness, productivity and economic diversity.

Providing excellent, comprehensive, and diverse academic choices across the sciences, humanities, health sciences, fine arts, engineering, and social sciences, the U of A provides the citizens of this province with the world-class university education they need and deserve. In the last decade with strong provincial investment in capital and operating budgets, our national and international reputation has consistently risen—the U of A is the only university in the province with the depth and breadth of research and teaching capacity, and reputation for excellence, to become a leader in Canada's post-secondary scene and a top 20 public university in the world.

What does this mean for the province?

The University of Alberta:

- connects Alberta to the world and the world to Alberta, by attracting and retaining world-class talent;
- elevates the province’s national and global profile by building top-level international partnerships and by transferring made-in-Alberta ideas and innovations to the global community and marketplace;
- draws attention to Alberta’s strengths as its alumni have an impact throughout Alberta, across Canada, and around the world through their leadership and accomplishments; and
- creates increased access and targeted programming to serve the needs of all Albertans, including its rural, immigrant, Aboriginal, and Francophone populations.

The following Comprehensive Institutional Plan—which includes the U of A’s academic and research plans, performance measures, Capital Plan, and 2012-2013 Institutional Budget—outlines the university’s short-term and long-term plans, goals, and resource needs and implications.

The province’s mandate for the University of Alberta requires, on the one hand, careful stewardship of existing resources in the day-to-day delivery of our core learning and research mission, and on the other, strategic and visionary long-term planning.

Over the last year, the university has been able to maintain undergraduate and graduate programming, boost research capacity by attracting international funding into the province, open new, forward-looking teaching and research facilities, purchase essential equipment, and recruit exceptional talent to our campuses. However, our forward momentum has slowed significantly with no increases to the Campus Alberta Grant for the past two years.

It is our aim to continue to seek opportunities for strategic, visionary growth and to think boldly about what we strive to accomplish and believe is possible in the service of the public good. However, we will not be able achieve all of our goals without additional government support. The net result of maintaining the operating grant at 2010 levels is a shrinking of the academy, especially in the numbers of faculty and staff members.

To prevent further reductions to the University of Alberta’s faculty, staff, and programming, annual increases of a minimum four per cent in operating funding are required over the next three years. Without increased investment, the access that Albertans and their children currently have to world-class educational opportunities at the U of A will be eroded. Increased investment in the mission of the U of A is vital—indeed essential—to ensuring Alberta’s economic, social and cultural diversity and prosperity tomorrow.

Environmental Scan: Setting the Stage

Alberta is at an exciting turning point in terms of its role on the national stage. According to Statistics Canada, Alberta’s economy expanded by 3.8% in 2010 and had the highest GDP of any province and state in North America. The province continues to lead the country in per capita investment. In fact, per capital investment was almost double the national average in 2010. Analysts, such as BMO Capital Markets and RBC Financial Group, have forecasted that Saskatchewan and Alberta, powered by their respective natural resource sectors, will be Canada’s economic growth leaders in 2012.

Authorities on post-secondary education are noticing a similar trend. Alex Usher, president of Higher Education Strategy Associates, recently generated headlines across the country when he stated that “[t]he intellectual centre of gravity of Canada is shifting west much faster than people realize.” As Usher notes,

the U of A has successfully leveraged past support from the provincial government to achieve impressive results on the national stage. When the federal government awarded the first round of the new Canada Excellence Research Chairs, the University of Alberta received four chairs –the most of any institution in Canada. In December 2011, the announcement of new federally funded industrial research chairs saw the University of Alberta receive six additional positions, bringing the university’s Faculty of Engineering to 16 chairs, again more than any other institution.

Continued bold, transformative investments are required to sustain the U of A’s remarkable momentum within the Canadian context and to capitalize on new opportunities for national leadership in the post-secondary education and research sector. Within Alberta’s efficient six sector model, the U of A and the other comprehensive academic and research institutions (CARIs) are the key to sustaining and improving Alberta’s global competitiveness through graduate education and research. Within this Campus Alberta model, U of A has a special responsibility and ability through our international research partnerships to deliver talented human capacity to Alberta’s entire innovation environment. In addition, through strategic planning, the U of A leverages its government investment to the benefit of Campus Alberta. We play a leadership role in creating and facilitating collaboration with partnering institutions; we work together to create opportunities for students in rural and remote areas; we share resources and best practices to create administrative and system-wide efficiencies, and continue to leverage economies of scale.

With the Knowledge Infrastructure Program completed and the envelope for future Canada Foundation for Innovation competitions limited, ensuring that Alberta’s post-secondary institutions have access to funding for world-class research and experimental facilities is of paramount importance, especially since the U of A serves as resource for the wider Campus Alberta system. A mechanism for the provision of provincial matching funds would also greatly enhance the U of A’s ability to compete for and secure grants from the Tri-Council as well as build international partnerships and collaborations.

In today’s global context, competing successfully on the international stage is a key part to the U of A’s capacity to be a provincial and national leader. Despite the economic downturn since 2008, nations across the world have recognized the critical importance of investing in education and research in order to secure both short-term economic recovery and long-term economic competitiveness in the knowledge economy of the future. Aside from these critical investments in education and research, nations are also aggressively pursuing collaborative international partnerships that allow them to leverage their own strengths in partnerships with centres of excellence elsewhere. This is especially apparent among emerging economic powerhouses, such as China and India. Even smaller nations, such as South Korea and Taiwan, are also investing strategically and reaping great benefits.

As a result, competition within the global context is fierce. Human capital is mobile: people move from one country to another to live and work, transferring knowledge between countries and developing new ideas, innovations, and solutions in the process. Currently, international students and faculty members are studying and teaching in universities throughout Alberta, but we need to recruit and retain more of them. At the U of A in 2008–09, international students accounted for 18.7 per cent of all master’s degrees and 29.5 per cent of all doctoral students. Through their long-standing and powerful global networks these individuals create informal and formal connections that cross borders.

The University of Alberta also continues to work with the province to establish new and extend current multi-levelled research partnerships, involving academic, government, and industry partners. The overall aim of these kinds of partnerships is to establish the University of Alberta as a global leader able to facilitate research and teaching with international impact and influence. If Alberta effectively leverages these partnership connections, it will increase competitiveness, secure economic prosperity, and advance Alberta’s position in the global economy.

Alberta needs and deserves the benefits that a globally recognized institution brings to its citizenry, who move internationally, and its industries, which engage globally. Alberta's ability to capitalize on strategic opportunities, find effective solutions to issues of provincial interest, and provide leadership in areas of international importance is directly linked to this university's ability to attract the world's best, to partner with global innovators, and to compete at the highest levels on the international stage. To ensure that the U of A—and by extension the province—remains a competitive destination of choice for talented people and productive provincial, national and international partnerships, it is vitally important that the province invest strongly in itself through the U of A's future.

Academic Overview: Access and Research

Recognized as one of the top 100 public universities in the world, the U of A attracts highly-qualified undergraduate and graduate students as well as post-doctoral fellows from Alberta, across Canada and abroad, who are seeking exceptional learning opportunities that integrate research and creative activities, international experiences, and community service. Such opportunities are the hallmark of leading teaching and research-intensive universities like the U of A. Why? Because they are essential ingredients for preparing students to become well-educated, socially-engaged, globally-aware citizens ready to join the workforce of today and tomorrow.

The strength of the U of A is founded first and foremost on the quality and diversity of our people, programming, research, and resources. A robust professoriate generates the rigorous and challenging inquiry-based undergraduate education and learning environment to which we are committed and that only a research-intensive university can produce and nurture. Sustaining our research and teaching capacity is our greatest priority and most urgent need if we are to continue to deliver to our students and the province of Alberta the quality, breadth and innovative kinds of education and research that they have come to expect.

Over the past decade, the U of A's five campuses have experienced tremendous growth which has supported and made possible innovative new programs and stronger connections to communities near and far. These five campuses offer students a range of experience, from the intimacy of the rural community-based Augustana Campus and the French-speaking environment of Campus Saint-Jean to the physical recreation and agricultural research environment of South Campus, the urban vibrancy and integration of Enterprise Square, and the large, dynamic, heavily populated, multidisciplinary learning and research environments of the North Campus. While the number and diversity of U of A campuses allows us to expand programming, research and internship opportunities in rural Alberta and for underrepresented populations, it also means that each campus requires appropriate and sufficient resources to support their distinctive recruitment, programming, research, community, and facilities needs.

Renewal is essential to the health and vigour of a comprehensive academic and research intensive university, and only with continued and increasing provincial support will the U of A remain in a strong position to manage the challenges and pressures that the university will face during the period of our new academic plan, *Dare to Deliver 2011-2015*. These include:

- Changing demographic trends in the student population
- Resource constraints that adversely affect the size and range of the professoriate as well as student to faculty ratios
- Emergence of new technology required in teaching, learning, and research
- Demands for new programs and research that encompass new forms of learning and knowledge

- and cross conventional disciplinary borders
- New structures in research funding, and
- Competition for the best students and researchers from increasing numbers of post-secondary institutions around the world.

Core Principles

The overarching principle that guides our academic enterprise is balance—balance between the foundational arts and science faculties and the professional faculties, the number of undergraduate and graduate students, domestic and international students, and professors and students. Overall, we strive for a balance between excellent teaching and learning in academic programs and ground-breaking research and creative activity, across seven areas of critical human activity that are studied in interdisciplinary ways: food and bioresources; energy; environment; health and wellness; humanities and fine arts; science and technologies; and society and culture. This balanced academy allows the university to help define the innovation landscape within Alberta, to create global leadership, and to improve social outcomes.

The remaining core principles that guide our academic programming and research planning are:

- Ensuring positive faculty and student experiences, engagement, and retention, as well as student completion rates.
- Sustaining an undergraduate learning environment that capitalizes on faculty research and scholarship activities.
- Assuring access to under-represented groups, particularly Aboriginal and rural students.
- Requiring that all student spaces be fully funded to ensure a high quality teaching and learning environment.
- Strategically acquiring and allocating resources to continually renew programming, research, scholarship, and creative activities that deliver leading-edge knowledge across disciplines.
- Delivering intellectual quality and capacity to Alberta's knowledge economy and innovation environment.
- Leveraging and extending international consortia to globalize research activities, deliver shared credential graduate programs with top calibre partner institutions, and attract more international undergraduate and graduate students, postdoctoral fellows, and international research investment to Alberta.
- Strategically managing and advancing shared research resources across the university to accelerate and maximize the initiatives and impact of our people.

Finally, to continue to provide this breadth of activity, and to achieve and maintain the quality and success for which we strive, our academic programming and research enterprise must remain deeply and solidly grounded on and matched by essential new or enhanced core physical facilities, sophisticated information technology, and extraordinary knowledge resources. The U of A's outstanding research library of record is one such resource—it is the second largest in Canada and widely considered to rank among the top 15 in North America.

In 2012-13, consistent with U of A's institutional vision articulated in *Dare to Discover* and academic plan articulated in *Dare to Deliver 2011-15*, we will strive to sustain our range of programming and research in a dynamic, relevant, responsive, and innovative fashion, relying on the flexibility that the Campus Alberta grant offers in combination with our entrepreneurial and creative spirit.

Capital Plan

As mentioned above, the U of A has undergone tremendous growth over the last ten years. Total student enrolment has increased 20% in fulfillment of access goals of both the province and the university. Graduate student enrolment has nearly doubled. During the same period, we have seen a concomitant increase in our research productivity and rise in our international profile and reputation. The university has been able to manage and capitalize on this growth because of significant and continued capital funding and planning that has enabled both the construction of new learning and discovery spaces and the advancement of much needed deferred maintenance. In the competitive world of post-secondary education, it is important for the U of A to provide high quality learning experiences and infrastructure that attracts, retains, and engages outstanding faculty and students.

With the recent completion of large-scale, new capital projects, the university now has the opportunity to sustainably maintain, and where appropriate, repurpose aging assets and infrastructure. As areas/buildings are vacated with programs relocating to newly constructed buildings, smart, forward-thinking planning requires that we look beyond simple renewal and explore repurposing opportunities necessary to meet the needs of today's learners and the university's continued growth in research-intensive activities. The ultimate goal: buildings that can be renewed in a cost-effective manner—that work and make sense now and in the future.

For example, with the completion of Centennial Centre for Interdisciplinary Science (CCIS) in 2011, several units within the Faculty of Science have been relocated, resulting in backfill projects in a number of buildings, such as the Henry Marshall Tory Building, the Biological Sciences Building, Chemistry West and the Civil/Electrical Building. In addition, the recent completion of Edmonton Clinic Health Academy (ECHA), as well as the fit-out of the Li Ka Shing Centre for Health Research Innovation and the Katz Group Centre for Pharmacy and Health Research, has set in motion much needed repurposing and renewal within the Dentistry Pharmacy Building, Medical Sciences Building (MSB), and Clinical Sciences Building (CSB). All of this will benefit several faculties. By coupling renewal and backfill projects, the U of A is able to provide a sustainable, best-value model in creating projects that look towards our future operational and academic needs at a reduced capital cost.

The following Capital Plan endeavours to take a balanced approach in identifying the need for capital funding in support of identified planning, engineering, and/or construction activities. As we look forward, the following five strategic priority areas guide our capital planning efforts:

- Ensure that we continue to maintain the condition and functionality of the university's physical assets, which play a critical role in our ability to attract, support, and retain the best students, faculty and staff.
- Couple backfill requirements with renewal projects to provide a sustainable, best-value model of capital projects that meets the pedagogical needs for tomorrow's learners and researchers at a reduced capital cost.
- Increase focus on planning and pre-design services that provide a clear tie between campus development and its delivery to meet both the immediate and long-term strategic vision of the institution. Create an inventory of shovel-ready projects at the time of economic recovery, and aid in the development of project delivery models that provide maximum value for money and the flexibility to respond to various funding opportunities.
- Continue responding to pressures for additional student residences, as well as faculty and staff housing. Research indicates that the quality of these facilities and the academic program contained within correlate with academic performance and the attraction and retention of students, faculty, and staff. In alignment with its academic goals of assuring access to under-

represented groups, the university maintains its vision of providing institutional housing for at least 25 percent of students, especially those from rural areas.

- Strategically plan and construct critical new facilities, respecting the varied needs of the university's five campuses as they each serve unique and separate constituencies within Alberta.

Institutional Budget

In the last decade, the province has emerged as an undisputed leader on the national stage—and is poised to become a significant player on the international stage as well. In today's financial climate, in which world economies, particularly those within the European Union, are highly volatile, Alberta has come through the economic crisis in relatively good shape.

The U of A has been a critical part of building Alberta's prosperity for more than a century, educating engaged, intelligent, capable, innovative, and productive citizens. The university has also been the source of world-class expertise in agriculture, a range of environmental sciences, energy, medical and biotechnology, nanotechnology, information and communications technology, in addition to feeding Alberta's excellent public service, vigorous music, theatre, literature, and visual arts scene, and diverse social make-up.

Alberta can build upon this strength and invest in highly skilled and talented people to position Alberta for economic growth. To sustain a strong and vibrant economy, Alberta's future depends on continued growth in key sectors of energy, agriculture, education, information and communications technology, and health. Albertans must continue to engage and contribute to the future of their province through creativity, innovation, cultural and social initiatives and further education. Knowledge, creativity, innovation, and entrepreneurialism are the new global currency. Alberta needs highly skilled people, with the capacity to generate social, technical and scientific innovations. The provincial government must make strategic decisions about its level of investment in the post-secondary sector to meet the future needs of all Albertans.

Consolidated Budget

Prepared under Canadian Generally Accepted Accounting Principles (GAAP), the University of Alberta's 2012-13 consolidated budget reflects the entire enterprise of unrestricted and restricted funds. This includes general operations, research activities, capital projects, and ancillary operations.

For 2012-13, the budget represents a deficiency of revenue over expense of \$15.9 million based on budgeted revenue of \$1,703 million and expense of \$1,719 million. Factors contributing to this include: limited increases in provincial funding, only modest recoveries to investment income, costs to support investments in salaries and benefits, increasing costs of utilities (energy prices) and general inflationary cost pressures.

In order to balance the 2012-13 consolidated budget the university would require an additional 2.5 to 3 percent decrease in its operating budget over-and-above the current budget re-allocation of two percent. The university does not believe that it is prudent to reduce the operation budgets at this time in order to offset the capital amortization expense and balance the consolidated budget, particularly in a year when the university's interest income is far below normal levels given the current economic situation. The university fully acknowledges that deficiencies in the consolidated budget are not sustainable in the long run. A return to normal levels of interest income and annual government grant increases at a level to offset expenditures, and effective planning over the next year will enable the university to bring the

consolidated budget back into balance for 2013-14.

Operating Budget

The operating budget covers the day-to-day operations associated with teaching, administrative support, facility operations and maintenance for classrooms and buildings. The university continues to strive for a balanced approach in maintaining the quality of the teaching environment, maximizing the use of resources and continually striving for administrative efficiencies. However, the budget re-allocations that have been applied over the last three years have had an impact on the institution and have reduced the university's capacity to fulfill its mission. Faculties and units across the institution are losing capability through the elimination of vacancies, the loss of staff positions, and limited resources to recruit new faculty and staff. In an effort to maintain a reasonable balance between fiscal responsibility and any further loss of capacity across the institution, the university is budgeting for a deficit of \$5.1 million in 2012-13 based on budgeted operating revenue of \$950.4 million and budgeted expenditures of \$955.6 million.

Key highlights from the 2012–13 revenue budget are:

- A two percent increase to the base Campus Alberta Grant.
- Roll-in of government enrolment adjustment funding from 2011-12
- Inclusion of federal government funding in the way of a grant from Canadian Heritage
- Adjustment to reflect gross tuition revenue versus net tuition revenue
- 1.45 percent increase to credit tuition fees
- Continued role-in of market modifier tuition
- Lower investment income due to market conditions
- Elimination of unrealized investment gains and losses
- Continuation of the Common Student Space, Sustainability and Services (CoSSS) fee
- A two percent budget re-allocation across the university

Key highlights from the 2012-13 expenditure budget are:

- Growth in salaries and benefits driven by salary settlements and benefit cost increases
- Relatively stable utility expenditures
- Modest growth in scholarships
- All other expenditures stable or marginal reduced
- A two percent budget re-allocation across the university

Budget Implications

Sustainable funding from the government in support of the university's mandate of teaching and research continues to be the university's major budget risk. The University requires a minimum annual 4% increase to the Campus Alberta Grant with a commitment to these increases over a three-year period.

Specific factors adding financial risks to the university include:

- legislative constraints on annual tuition increases
- realignment of provincially funded research and innovation organizations into Alberta Innovates, particularly as it relates to the former Alberta Heritage Foundation for Medical Research (AHMFR)
- Canada-U.S. exchange rates
- unprecedented low short- and long-term interest rates
- forecasted risk associated with growth in salary expenditures

- rapid increase in benefit plan expenditures, particularly pension plan contributions
- presence of a structural operating budget deficit based on a current misalignment of growth in revenue versus growth in expenditures

Resource and Risk Implications

The University of Alberta must not lose the momentum created by previous years of government funding and strategic investments in students, staff, programs, and infrastructure. Guided by the goals and priorities of *Dare to Discover* and cognizant of the national and global context in which we function, the University has identified a series of resource requests consistent with our role as Alberta's flagship university.

- ❖ **Annual grant increases of at least four percent to continue to fulfill its academic mandate, meet the needs of Albertans, and prevent the erosion of invaluable progress made over the last several years. To assist in planning, a commitment of at least three years to this level of increase is also required.**

Resource Implications: Access

- ❖ **\$5.7 million base funding which includes scholarships and support service for students recruited from underrepresented populations, an expansion to the Augustana Faculty rural summer internship programming and Aboriginal student recruitment and programming.**
- ❖ **\$4.55 million base funding which includes support for French language programs and student support services at Campus Saint-Jean, international student scholarships undergraduate internships and study abroad student support.**
- ❖ **\$3.1 million base for additional FLEs in PH.D. program in Engineering, health-team pathways academic programming and new program and operating costs for Collège Saint-Jean**

Resource Implications: Research, Scholarship, and Creative Activity

- ❖ **\$12 million base investment to sustain core research operations and cyber infrastructure and research computing.**
- ❖ **\$20 million over a 6 year period to ensure the success of our Canada Excellence Research Chairs program, with the first \$10 million being provided in the first two years to rapidly enhance the Chair program.**
- ❖ **Reinstatement of the Access to the Future fund, to increase the institution's success in securing philanthropic funding that supports broad-based excellence and impact.**
- ❖ **The University is seeking \$60M over 5 years, to sustain Alberta Innovates Centres that continue to meet standards of international excellence and provincial impact.**
- ❖ **\$10 million per year to meet the growing matching-dollar requirements associated with Tri-Council, Genome Canada, and other federal programs**

- ❖ **\$25 million in one-time funding to match potential CFI awards in the 2012 Leading Edge Fund and New Initiative Fund competition, starting FY2013-2014**
- ❖ **\$8.7M in one-time funding to match CFI awards through the Leaders' Opportunity Fund, over the next 3 years.**
- ❖ **\$1.8 million base funding to reach our goal of 40 new postdoctoral fellow positions offering stipends of \$45,000 each**
- ❖ **\$19,600 in operational funding for each of its 550 PDFs, for a total base investment of \$10.8 million**
- ❖ **\$1.8 million in base funding for TEC Edmonton**
- ❖ **\$1.0 million base funding for the creation of 200 undergraduate internship positions at \$5,000 per intern**
- ❖ **\$55 million over five years to support international consortia activities in the areas of energy and environment, water, infectious diseases, and food**
- ❖ **\$3 million in over five years for student mobility and exchange programs associated with current and future international agreements and consortia.**
- ❖ **\$6 million over four years to top up grants from Brazil's Science without Borders program to attract 340 post-doctoral fellows and 680 graduate students to Alberta.**

Resource Implications: Capital Plan

- ❖ **\$18 million in support of pre-design and design projects**
- ❖ **\$580 million in support of the university's highest preservation priorities**
- ❖ **\$1.1 billion for the highest new and expansion priorities**
- ❖ **\$3 to \$4 million annual funding allowance to support planning pre-design services for capital projects, so that the university will have an inventory of projects in a state of readiness and to achieve a higher level of program and cost certainty**

Risk Implications

Like all world-class research intensive universities, the University of Alberta must deal with a variety of risks that have the potential to hinder its growth and the realization of its vision, mission and strategic objectives. Many of these risks have been identified throughout this document.

1. Taking steps to avoid any significant long-term negative event to protect the reputation of the University.
2. The substantive and continuing economic uncertainty, low interest rates, concerns over rising costs of education, government deficits, and a budget model where expenditures are increasing more rapidly than revenue presents the University with a series of fundamental budget risks.

3. Enrolment growth must be managed from the perspective of meeting the labour demands of a province while achieving the appropriate enrolment ratio targets.
4. Maintaining staff morale and investing in key human-resource systems and processes to ensure the effective operation of the University.
5. The ability to maintain investments in leading-edge IT infrastructure and support.
6. The continuation of appropriate levels of Infrastructure Maintenance Program funding while securing capital for new, expansion, and/or renewal projects to meet the strategic goals of the institution.
7. The ability to retain and attract the best and the brightest students, academics and staff.
8. The management of strategic collaborations and partnerships with an extensive range of stakeholders in an integrated and strategic manner.
9. Access to funding that enables the leveraging of tens of millions of research dollars from provincial, national, and international sources.
10. Assuming risks in a managed way that enables the University to achieve its strategic goals while maintaining a healthy and safe environment for all.

Through its integrated enterprise risk management framework, the University will monitor, manage, and mitigate these and other emerging risks in an effort to avoid substantial impact on the University's ability to fulfil its strategic objectives.

Tracking Our Performance

Performance indicators are starting points for monitoring progress toward expected outcomes and goals. These indicators have been chosen and developed on the basis of input from key University of Alberta partners, as well as the planning efforts that have produced the university's vision, *Dare to Discover*, the academic plan, *Dare to Deliver 2011-2015*, and the access and research plans contain within this comprehensive planning document.

The following measures will be included at appropriate places throughout the Comprehensive Institutional Plan:

- Full-Time Equivalent (FTE) Undergraduate to Graduate Studies Student Ratio, 2009-10 to 2011-12
- Post-Doctoral Fellows
- Proportion of students satisfied or very satisfied with their educational experience
- Enrolment of Selected Student Groups
- Applications and Admissions, Fall 2007 to Fall 2011
- Citations per Full-Time Faculty, University of Alberta and Selected Peers, 2006 to 2010
- Publications per Full-Time Faculty, University of Alberta and Selected Peers, 2006 to 2010
- New Licenses and Options Executed, University of Alberta and Selected Peers, 2005-06 to 2009-10

- Percent of students rating their educational experience as good or excellent
- Graduate Employment Rate Two Years After Graduation
- Completion Rates, University of Alberta
- Average Financial Support per Doctoral Student, University of Alberta and G13 Universities, 2005-06 and 2009-2010
- Average Financial Support per Research Masters Student, University of Alberta and G13 Universities, 2005-06 & 2009-10
- G13 Sponsored Research Income by Type, 2008-09 and 2009-10
- Sponsored Research Income per Full-time Teaching Faculty for G13 Universities, 2008-09 and 2009-10 (in \$000's)
- University of Alberta Fundraising Achievement, Latest 10 Years, 2001-02 to 2010-11
- Selected Full-Time Faculty Awards and Honours, University of Alberta and Selected Peers, 1998 to 2010

Accountability Statement

This Comprehensive Institutional Plan was prepared under the Board's direction in accordance with legislation and associated ministerial guidelines, and in consideration of all policy decisions and material, economic, or fiscal implications of which the Board is aware.

Douglas O. Goss, Q.C.

Chair, University of Alberta Board of Governors

Institutional Context

University of Alberta Mandate

As approved by the Minister of Advanced Education and Technology, July, 2009

Created by the *University Act*, 1906 of the Legislative Assembly of the Province of Alberta, the University of Alberta is a board-governed, publicly-funded university that operates as a Comprehensive, Academic and Research Institution under the authority of Alberta's *Post-Secondary Learning Act*. Its fundamental mandate is to offer a broad range of outstanding learning and research programs to prepare citizens and leaders who will make a difference. The university plays a leading role in Campus Alberta through collaboration with other Alberta institutions, responding to vital community relationships at every level and giving a national and international voice to Alberta innovation. Its activities enhance student opportunities and build Alberta's capacity for long-term, knowledge-driven sustainable development at the global forefront.

The university provides instructional excellence through both on-campus and distance delivery in a vibrant and supportive learning and research environment. Its residential, multi-campus setting includes many research and field facilities. The university community discovers, disseminates, and applies new knowledge through the following interrelated core activities.

In a dynamic and integrated learning and research environment, the University of Alberta offers graduate and undergraduate students the opportunity to earn internationally respected credentials, including bachelor's, master's and doctoral degrees, and university certificates and diplomas. It also offers French-language programs leading to university degrees, certificates and diplomas as well as college certificates and diplomas. A number of its programs are unique within Alberta. Postdoctoral fellows come to the university to refine their teaching, mentoring and research skills.

The University of Alberta is a balanced academy, with strong arts and sciences programs featuring the Faculties of Agricultural Life and Environmental Sciences, Arts, Augustana, Extension, Native Studies, Physical Education and Recreation, Science and Campus Saint-Jean. These faculties are foundational to and interlinked with the university's network of strong professional faculties, including Business, Education, Engineering, Graduate Studies and Research, Law, Medicine and Dentistry, Nursing, Pharmacy and Pharmaceutical Sciences, Public Health, and Rehabilitation Medicine. In addition, all of our faculties are involved in professional development and continuing education.

The university establishes and maintains an environment of inquiry-based learning anchored in strong academic programming and an array of co-curricular student life opportunities. Academic support, social/community enrichment, health and wellness, and career and life development are cornerstones of the University of Alberta student experience. The intellectual and creative diversity of the campus, including its international and multicultural population and exchange programs, makes for an engaging student experience. Fine arts displays, stage performances, museum collections, athletic, and recreational opportunities combine with residence life to present multi-dimensional possibilities. Experiential learning opportunities based in the community augment on-campus activities with real-life applications.

Transfer and collaborative degree completion agreements with partner institutions broaden student opportunities and provide rural, northern and Aboriginal communities with access to University of Alberta credentials. Similar innovative arrangements centred at the university deliver information and knowledge resources to post-secondary and government communities through both inter-library and online access.

The university's research and creative activities produce a dual impact through the preparation of highly qualified graduates and a continuous flow of innovation. The university attracts scholars of international reputation: undergraduate and graduate students, postdoctoral fellows, staff and faculty. Collectively, they foster, conduct and disseminate research and creative activity, both pure and applied, within and across all the major program areas at an internationally-recognized level of excellence.

University faculties, centres and institutes combine resources and talents for collaborative advantage through research partnerships with other academic institutions, business, governments and public agencies. The university actively transfers new knowledge and creative works to Alberta, Canada and the world for community benefit, including commercial development of intellectual property when appropriate and feasible.

In every aspect of its mandate, the University of Alberta is a partner in social, cultural, and economic development, fostering and establishing the provincial, national and international connections and understandings that support leading global enterprise and citizenship for Albertans. University administrators, faculty, staff and students contribute regularly to public debate and to government and corporate examination of issues. Start-up companies and new technologies licensed to existing companies lead Alberta in new directions and employ graduates. The university continually moves out into its communities through its graduates, its creative and research advances, and its ongoing opportunities for experiential and life-long learning.

University of Alberta Vision, Mission, Cornerstones, and Values

The University of Alberta *vision* is 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.

Our *mission* is to create and sustain a vibrant and supportive learning environment that discovers, disseminates, and applies new knowledge 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 place Canada at the global forefront.

The U of A aspires to become one of the top public universities in the world by 2020 by focusing academic planning and strategic decision-making on *four cornerstones*:

1. Talented People
2. Learning, Discovery, and Citizenship
3. Connecting Communities
4. Transformative Organization and Support

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 Alberta was founded in 1908 and reflect a dynamic, modern institution of higher learning, leading change nationally and internationally.

Excellence: Excellence in teaching that promotes learning; outstanding research and creative activity that fuel discovery and advance knowledge; and enlightened service that builds citizenship.

Student Experience: The centrality of our students and our responsibility to provide an

intellectually superior educational environment.

Integrity and Academic Freedom: Integrity, fairness, and principles of ethical conduct built on the foundation of academic freedom, open inquiry, and the pursuit of truth.

Diversity and Creativity: A diverse, yet inclusive, dynamic collegial community that welcomes change and seizes opportunity with passion and creativity.

Pride: Pride in our history and traditions, including contributions from Aboriginal people and other groups, which enrich and distinguish the university.

Comprehensive Institutional Plan Development

The University of Alberta operates within a four-year integrated planning and budgeting framework. The framework was developed based on the principles of long-term planning, openness and transparency, comprehensive consultation, accountability through performance tracking, and academic priorities (teaching and research) as the drivers of resource allocation decisions.

The university's Board of Governors approves the university's vision document, *Dare to Discover*; the academic community, through General Faculties Council, approves the current academic plan, *Dare to Deliver 2012-2017*. The preparation of the Comprehensive Institutional Plan (CIP) is based on these two guiding documents as well as the guidelines provided by Advanced Education and Technology.

The development of the CIP involved both internal and external consultation for key messages, priorities, and needs. Information from the faculties on the evolution of teaching and research priorities and initiatives, including pan-Albertan and Campus Alberta activities, was solicited in Fall 2011. This information was integrated with other consultations regarding the operating pressures associated with shared research resources and services, and ongoing dialogue on emerging initiatives with local, national, and international external stakeholders. In addition to informal dialogue among units across CARI institutions, there were also structured meetings with the senior executive teams of the University of Calgary and the University of Lethbridge in early January, 2012. These meetings identified themes and pressures that are distinct to the CARIs within Campus Alberta system as a whole, and this document reflects that Campus Alberta consultation.

The U of A's Office of the Vice-President (University Relations) assumed overall responsibility for the process of preparing the CIP and leading it through the review and governance approval process. Once the final CIP is prepared, the entire document is taken through several rounds of briefings and consultations. Based upon the U of A's governance structure, the review process involved the President's Executive Committee, General Faculties Council (Academic Planning Committee), the Board Finance and Property Committee, the Board Learning and Discovery Committee, and the full Board of Governors. The review process involved detailed briefings of the CIP to these committees, along with motions recommending approval from the Academic Planning Committee to the Board Finance and Property Committee (BFPC) and the Board Learning and Discovery Committee (BLDC) and a joint motion from BFPC and BLDC to the Board of Governors recommending approval. The Board of Governors was the university's final approving body of the CIP. Upon approval by the Board of Governors, the document is submitted under the signature of the chair to the minister of Advanced Education and Technology.

Environmental Scan

Alberta's future success depends on the province's ability to embrace the next generation economy, the backbone of which is people, ideas, and innovation. When talent, entrepreneurship, and capital converge with discoveries, technology and positive social outcomes, Alberta's economy will be diversified, innovations, and new enterprises will blossom, productivity will increase, and the province's competitive position will be optimized both at home in Canada and on the world stage. The convergence of these essential elements will also serve to enhance quality of life and strengthen the fabric of Alberta's civil society.

The Alberta Environment

Talent, knowledge, innovation, and entrepreneurship are the now the global currency. Alberta's ability to compete globally against both traditional economic competitors and emerging economies hinges on our ability to develop, attract, and retain world-class talent. Premier Alison Redford stated in her recent State of Alberta Address: "Keeping Alberta strong involves investing in our engine of innovation – people. World-class output requires world-class input." The Premier stressed the importance of attracting the best and the brightest to Alberta, through the province's post-secondary institutions, noting that "our government is committed to strengthening our universities post-secondary institutes – through the creation of new programs that will attract the world's best scholars, researchers, teachers and innovators to this province." As Premier Redford asserts, the province needs to develop a reputation as a region where learning, discovery, creativity, and entrepreneurship is strongly supported. Recruiting and retaining talent is critical to this goal.

Seventy-seven per cent of all University of Alberta alumni stay, find employment, and create businesses in Alberta. The rippling economic impacts of the U of A itself are immeasurable. On average, each continuing faculty member teaches 125 undergraduate and graduate students, supervises four graduate students, and brings in an average \$250,000 in research funding per year. The University of Alberta not only graduates over 9,300 students per year but it contributes to high demand areas such as engineering and health services. In 2011, the U of A graduated 836 engineers, 496 nurses, 143 medical doctors and 125 pharmacists. The graduation of these important professionals is a step in avoiding the major shortages that are predicted in the future.

Having earned either an undergraduate or graduate degree, a U of A graduate's impact on his or her community accumulates for decades. Each one brings advanced expertise and leadership on various aspects of the economy and society, along with improved social outcomes, new enterprises, innovations in existing enterprises and public policy, as well as expanded international engagement and investment. The result for Alberta is an enriched standard of living and quality of life for all residents.

Clearly, the long-term benefits of investments in post-secondary education are indisputable. Premier Redford noted that "we have great foundations that our government will build on. There is no better investment of public funds than in learning." However, in order to remain competitive and not lose ground, Alberta must address head on risks to competitiveness and productivity. Four of the largest challenges are linked directly to human capital:

1. Low levels of participation in post-secondary education among 18–24 year olds.
2. Low completion rate of bachelor degrees.
3. An aging population leading to a decline of skilled labour in the workforce.
4. Low numbers of international students being attracted to Alberta.

According to OECD data, Alberta's fifteen-year-olds consistently score among the best in the world in math, science, and reading, yet Alberta has one of the highest high school drop-out rates and one of the lowest post-secondary participation rates in Canada. In 2010, the *Campus Alberta Planning Resource, 2011* stated that post-secondary participation rates for Albertans aged 18-34 – the prime post-secondary cohort – was only one per cent higher than 2009 levels and that it remained in the 16 to 19 per cent range, the lowest in Canada. Alberta's participation rate was 17.7 per cent in 2010 while Quebec, Ontario and British Columbia led the country with participation rates of 25.9, 24.8 and 23.8, respectively. In the report, *A Primer for Discussion* prepared by PriceWaterhouseCooper for the Alberta Competitiveness Initiative, Alberta ranked 12th when compared to 15 domestic and international jurisdictions in terms of bachelor degree completions among 25-64 year olds.

Even more alarming are the low numbers of master's and PhDs enrolled in Alberta. In graduate student enrolment per thousand of population, Alberta's enrolment stands at 2.5 per thousand, compared to the Canadian average of 3.2 and the U.S. average of 7.3.

With the changing demographics of Alberta's population and workforce, the attraction of international students is also essential to the continued development of much needed human capital for research, innovation, and highly-skilled labour in a knowledge-based economy. According to the *Campus Alberta Planning Resource, 2011*, Alberta attracted 6.5 per cent of all international students to Canada in 2009; this is the fourth highest in Canada, below Ontario, British Columbia and Quebec. At the University of Alberta, particular, there are strategies in place to increase international student enrolment to 15 per cent of the student population for undergraduates, and 30 per cent for of the student population for graduate students, a ratio that would position the university as one of the top two universities in Canada.

In order to address the challenges related to human capital and the fundamental role it plays in the creation of the "next generation economy," the Government of Alberta has developed Campus Alberta and the Alberta Innovates framework. Campus Alberta, specifically through the Roles and Mandates framework, recognizes the distinct roles that post-secondary institutions have, and further facilitates the advancement of each component and the relationship between the institutions. The Alberta Innovates framework is the province's recent reformulation of its research and innovation system. It is important that the frameworks reflect current global realities.

Implications for the University of Alberta

The University of Alberta is strategically positioned to be a key partner with the province in achieving its goal of developing the "next generation economy." Premier Redford noted in her State of Alberta Address that "without a skilled and highly educated workforce, we will not attract the cutting-edge companies to carry out research and development, much less the finest minds to lead it." The University of Alberta is a key contributor to the attraction and development of this type of talent. Previous investments made in capital infrastructure, student space and research have made Alberta a destination of choice for faculty, researchers and graduate students.

However, with the current fiscal environment and the lack of predictable long-term funding increases for post-secondary education, the progress made by post-secondary institutions in the province may be lost. The Government of Alberta made major investments, beginning in 2005, which established a strong foundation and created a period of growth and an ability to attract world-class talent to the province. Without an ongoing commitment to post-secondary funding Alberta will lose its competitive advantage.

Additionally, the Government of Alberta and the post-secondary sector must focus on growing the number of graduate students through both fostering domestic and attracting international applicants.

Graduate education drives research breakthroughs, creates innovation, attracts capital and partnerships and builds vibrant clusters. The challenge to growing graduate enrolment is threefold: 1) to increase the number of graduate students to globally competitive levels, 2) to ensure that additional professors are hired to supervise, train, and engage these young global leaders, and 3) to renew and repurpose undergraduate space to space appropriate to graduate student use. World-class research universities, on average, have a professor-student ratio of one professor to four graduate students.

Within Alberta's efficient six sector model, U of A and the other comprehensive academic and research institutions (CARIs) are the key to sustaining and improving Alberta's global competitiveness through graduate education and research. Institutions in the other five sectors also fill important provincial post-secondary aims for providing broad access and diverse educational options to students of varying needs, backgrounds, locations, and skills. The differentiation of roles within Campus Alberta's six-sector model is also critical to feeding the diverse economic and social needs throughout all sectors of Alberta's society.

Since its inception, the U of A has been a defining and leading partner in within this system. We are in the unique position among Alberta's CARIs of offering liberal arts education at its two smaller campuses—Augustana Campus and Campus Saint-Jean—in addition to the research-intensive experiences on our North and South Campuses. Our ability to offer different and specialized undergraduate learning experiences stems from our historical mandate to serve the not only the needs of the capital region but of the whole province.

As the flagship institution, the U of A has, through several initiatives, leveraged government investment in our institution to the benefit of others within the system. We play a leading role in creating and facilitating collaboration with partnering institutions; we work together to create opportunities for students in rural and remote areas; we share resources and best practices to create administrative and system-wide efficiencies, and continue to leverage economies of scale. Indeed, investment in the University of Alberta is an investment in Campus Alberta as a whole.

As Alberta's largest and most comprehensive academic research institution, the U of A is also a key contributor in the continued development of the Alberta Innovates structure and an important resource in developing partnerships with countries, institutions and people around the globe. Despite the current global economic challenges, investment in post-secondary education is essential to the development of new revenue streams, new services and new economies for the province.

The Government of Alberta has made substantial investments at the University of Alberta including the Centennial Centre for Interdisciplinary Science, the Li Ka Shing Institute of Virology and the Edmonton Clinic Health Academy, among others. These facilities have contributed greatly to the attraction and retention of world-class talent and in the future will be facilities in which local talent will be trained and exposed to unique research opportunities. However, for the University of Alberta and Campus Alberta to remain competitive and be a destination of choice for talent productive partnerships, ongoing, stable funding for the post-secondary sector and continued investment in research and infrastructure must continue.

The Canadian Environment

Over the last two decades, successive federal governments have invested in a variety of programs and initiatives in support of advanced research and innovation. Investments in the granting councils, Canada Research Chairs, Canada Foundation for Innovation, Knowledge Infrastructure Program, Canada Excellence Research Chairs, Vanier Scholarships, and Banting Postdoctoral Fellowships have built a

solid foundation for Canadian research. The 2011 federal budget provided increased funding to existing research programs, including the Tri-Council agencies and new Canada Excellence Research Chairs, while also announcing new initiatives, such as an international education strategy and a Canada-India Research Centre of Excellence. These investments support the federal government's objective of continuing to lead the G7 in research and innovation funding.

The uncertainty affecting the global economic environment has heightened the federal government's interest in policy areas – such as productivity, competitiveness, and innovation – where the connection to post-secondary education and research is strong. During a ceremony for Vanier Scholarship winners, Prime Minister Harper clearly articulated the benefits of post-secondary education and research for the national economy and communities across Canada and beyond: “Research leads to discoveries and inventions. That leads to patents that build Canadian businesses and create Canadian jobs, and that makes for greater prosperity for Canadian families and workers. Not just for a stronger Canada, by the way, but ultimately a better world.”

Two significant features of the Canadian environment with regards to post-secondary education are the federal government's pledge to gradually reduce its budget deficits and its commitment to spur business research and development. The 2011 federal budget outlined a process for balancing the budget by finding a total of \$11 billion in savings from direct program spending. To locate these savings, a sub-committee chaired by President Treasury Board Tony Clement has asked all departments to examine 5 per cent or 10 per cent spending reductions, with the results announced in Budget 2012. In the fall economic update, Minister of Finance Jim Flaherty extended the government's deficit reduction timeline by one year to 2015-16.

The federal government has also made the encouragement of business investment in research and development a priority. “Canada still lags other nations in overall business expenditures on R&D. R&D spending by business in Canada has actually been decreasing in real terms since 2006,” stated Minister of Finance Jim Flaherty in speech at a national symposium on innovation at the Perimeter Institute in Waterloo in 2011. In October 2010, an expert panel was tasked with evaluating federal research and development programs with a business innovation focus. The review, completed twelve months later, recommended substantial changes to the federal business R&D landscape, including new agencies and coordinating mechanisms and a shift in emphasis away from tax incentives towards direct program funding. The panel's report, entitled *Innovation Canada: A Call to Action*, also urged greater attention to gaps in Canada's innovation ecosystem, such as large-scale public procurement measures, collaborations between business, academia, and government, as well as Canada's supply of venture capital. Perhaps most relevant to the Government of Alberta, the final report concluded by noting the importance of a national dialogue with the provinces on innovation issues.

Also significant will be an ongoing commitment to Canada Foundation for Innovation funding. Top talent, researchers and graduate students go wherever they see the greatest opportunities for making the biggest impact. These people are acutely aware of the quality of a university's resources, including the quality of facilities, laboratories and equipment. It is commonly accepted that scientific infrastructure becomes obsolete in five to seven years. The Canada Foundation for Innovation has helped keep Canada's scientific and innovation infrastructure on par with the rest of the world. CFI has also been a highly effective mechanism for forging meaningful industry-university partnerships. CFI facilities are one of Canada's key knowledge exchange venues for linking discovery research with sector challenges.

Implications for the University of Alberta

Economic, social and demographic forces are shifting Canada's centre of gravity westward. Analysts,

such as BMO Capital Markets and RBC Financial Group, have forecasted that Saskatchewan and Alberta, powered by their respective natural resource sectors, will be Canada's economic growth leaders in 2012. In November 2011, employment in Alberta grew by 4.8 per cent on a year-over-year basis, the fastest rate of growth of all provinces; Edmonton led the nation in job growth in 2011, according to the city's chief economist. Immigration patterns are showing increasing favouritism for western provinces such as Alberta, Saskatchewan, and Manitoba at the expense of Ontario. In 2010, only 42 per cent of new arrivals settled in Ontario, compared to 60 per cent ten years ago.

Authorities on post-secondary education are noticing a similar trend. Alex Usher, president of Higher Education Strategy Associates, recently generated headlines across the country when he stated that "[t]he intellectual centre of gravity of Canada is shifting west much faster than people realize." Concerns over large undergraduate class sizes, dependable government funding, and climbing tuition at Ontario post-secondary institutions are frequent topics of debate in the mainstream media and were widespread concerns on the provincial campaign trail in the 2011 Ontario provincial election.

Bold, transformative investments will ensure that institutions such as the University of Alberta sustain the tremendous momentum of the previous five years and capitalize on new opportunities for national leadership in the post-secondary education and research sector. The University of Alberta has successfully leveraged past support from the provincial government to achieve impressive results on the national stage.

As Usher noted, when the federal government awarded the first round of the new Canada Excellence Research Chairs, the University of Alberta received four chairs – again the most of any institution in Canada. In December 2011, the announcement of new federally funded industrial research chairs saw the University of Alberta receive six additional positions, bringing the university's Faculty of Engineering to 16 chairs, the most of any institution.

With the Knowledge Infrastructure Program completed and the envelope for future Canada Foundation for Innovation competitions limited, ensuring that Alberta's post-secondary institutions have access to funding for world-class research and experimental facilities is of paramount importance, especially since the University of Alberta serves as resource for the wider Campus Alberta system. A mechanism for the provision of provincial matching funds would also greatly enhance the University of Alberta's ability to compete for and secure grants from the Tri-Council as well as from international partnerships and collaborations.

The implications of the Strategic and Operating Review and the review of federal support to business R&D will be seen over the course of 2012. There is potential that the government's deficit reduction program could include adjustments to agency budgets in areas of interest to the University of Alberta. The institution must also be prepared for possible changes to federal R&D programming, in the event that the government decides to accept some or all of the recommendations of the expert panel's report on business R&D.

The Global Environment

Within the context of an increasingly globalized world, nations are aligning their resources to better compete within the global market place. Despite the economic downturn of 2008, and continued economic turbulence worldwide, countries have put investment in education, research and development and innovation at the heart of their political agendas. This is truly remarkable given the current state of many economies worldwide. In the post-economic downturn reality, nations have recognized the critical importance of investing now in order to secure both short-term economic recovery and long-term economic competitiveness in the knowledge economy of the future. Aside from these critical investments

in education and research and development, nations are also aggressively pursuing collaborative international partnerships that allow them to leverage their own strengths in partnerships with centres of excellence elsewhere. These investments and linkages will increase by necessity as competition in the global arena comes from both traditional and new, emerging economic powerhouses.

China is one such powerhouse. With 27 million students, China has surpassed the United States to become the largest higher education system in the world. Funding for higher education has been increased to 3.5 per cent of GDP with plans to increase it to an internationally competitive level of 4 per cent GDP. Meanwhile, an estimated \$20 billion in purchasing power parity has been spent on building an elite sector in Chinese higher education. The result is that, in the last 16 years, China has quadrupled the number of its tertiary graduates to three million a year while also seeing an 80-fold increase in the number of doctoral degrees in engineering and natural science for this same period. This remarkable change has enabled China to accelerate its economic growth to an unprecedented level and it's likely to continue. China is graduating immense numbers of highly-skilled students in areas that are critical to innovation: the Science, Technology, Engineering and Mathematics (STEM) fields. Indeed, the American Council on Competitiveness notes that "China graduates nearly three times as many four-year degrees in engineering, computer science, and IT and is projected to graduate more PhDs in science and engineering by 2010."

As part of the drive to create new growth, jobs and secure global competitiveness, in November 2011, the EU introduced a new program for research and innovation, *Horizon 2020*, which aims to "secure Europe's science and technology base and industrial competitiveness to create new jobs and growth." The program has an overall budget of €80 billion, up from €50.5 billion for its predecessor — the Seventh Framework Programme for Research (2007-2013). *Horizon 2020* will run from 2014-2020 and will combine all research and innovation funding currently provided through the Framework Programmes for Research and Technical Development, the innovation related activities of the Competitiveness and Innovation Framework Programme (CIP) and the European Institute of Innovation and Technology (EIT). *Horizon 2020* is a market-driven approach that aims to create a genuine single market for knowledge, research and innovation, and will create partnerships between the private sector and Member States. *Horizon 2020* will be complemented by additional measures to complete and further develop the European Research Area by 2014. These investments come as EU member states face continued economic upheaval. However, the European Commissioner responsible for research innovation and science, Máire Geoghegan-Quinn, has stated that to not invest into innovation fronts now would be "unthinkable."

On January 25, 2011, in his State of the Union address, American president Barack Obama stated that by 2020, the United States will produce eight million more post-secondary graduates and have the highest proportion of post-secondary graduates in the world. In July of 2011, President Obama reiterated this commitment, saying "A world-class education is the single most important factor in determining not just whether our kids can compete for the best jobs but whether America can out-compete countries around the world." The United States remains the most recognized and respected higher education system in the world, but even the U.S. cannot afford to rest on its laurels. The OECD notes that traditionally high performing economies are increasingly being caught up to by the educational systems of emerging economies. In particular, Japan and the United States, which collectively have 47 per cent of all tertiary educated adults, are seeing their advantage being surpassed by both increased attainment and the gross number of tertiary graduates elsewhere.

In Germany, the national research budget is approximately €5.7 billion, two-thirds of which is provided by industry, one third by government and four per cent by foreign investment. The German federal government has adopted a strategy for the internationalization of science and research that includes initiatives for internationalizing the training of young researchers, supporting the mobility of researchers, and enhancing the possibilities for international research collaborations. With its reputation for world-

class higher education and research, it is noteworthy that Germany receives the third-largest number of international students. Moreover, Germany currently attracts €1 billion annually in foreign investment. Germany has committed to building on these strengths with continued investments into education and research.

India is also aggressively pursuing education and research and development as priority areas. The Indian government has committed to ensuring a tertiary education for 30 per cent of its youth by 2025 – up from its current rate of 12 per cent. To meet this ambitious goal, India has sought out partnerships with world leaders in education so as to increase both the quality and accessibility of its education system. It has also increased the budget for higher education for 2010-2015 to nine times the amount of the previous five years. In 2006 and 2007, the Indian government created ten premier science and research institutes dedicated to research and teaching in the basic sciences with an aim to become science universities of the highest calibre devoted to both teaching and research. In addition, India has also entered into an agreement with the United Kingdom to establish fourteen world-class, research intensive “innovation universities” in partnership with elite universities such as Oxford and Cambridge. At present, India invests approximately \$21 billion into research and development and has committed to increasing the budgets for both higher education and R&D. India is already among the top ten research countries in the world.

Smaller nations, such as South Korea and Taiwan, are also investing strategically and reaping great benefits. In 1999, the South Korean government introduced “Brain Korea 21,” a project intended to build a sustainable economy by making significant investments in educating an internationally competitive workforce. The second phase of the project, started in 2010, targets the support of 20,000 graduate students annually and the establishment of ten globally competitive research-intensive universities.

Despite the economic downturn, the Brain Korea 21 project continues to receive significant government funding. In addition, two other major programs at the centre of Korea’s educational and economic development efforts have been initiated: the World Class University project and the New University for Regional Innovation project – both of which receive substantial government support.

In 2005, Taiwan first announced an investment of \$1.6 billion to lay the foundation for the creation of elite universities and the national government is continuing efforts to invest in the expansion of higher education as a key component of its economic competitiveness. The ascension of Taiwan in higher education and research is noteworthy for its successes and education reforms have long been considered as one of the critical keys to Taiwan’s modernization. According to the World Economic Forum’s 2011 *World Competitiveness Report*, Taiwan now ranks sixth in the world for its ability to compete because of gains made in R&D infrastructure and talent.

Implications for the University of Alberta

Competition within this global context is fierce. Currently, international students and faculty members are studying and teaching in universities throughout Alberta, but as mentioned above, we need to recruit and retain more of them. At the U of A in 2011–12, international students accounted for 25 per cent of all master’s degrees and 40 per cent of all doctoral students. Sixty per cent of Alberta’s international students have stated that they will look for work in the province after completing their studies. The strong pattern of students participating in graduate studies and the retention rate of these students will help stimulate the creation of a knowledge-driven economy in Alberta.

Through their long-standing and powerful global networks, these individuals create informal and formal connections that cross borders. Human capital is mobile: people move from one country to another to live

and work, transferring knowledge between countries and developing new ideas, innovations, and solutions in the process. If Alberta effectively leverages these people connections to create knowledge transfer, it will increase competitiveness, secure economic prosperity, and advance Alberta's position in the global economy.

In order to compete, the Province of Alberta should do more to leverage the international connections available through its universities, especially those of the comprehensive research institutions. The University of Alberta will continue to work with the province to establish multi-levelled research partnerships, involving academic, government, and industry partners.

Due to significant investments from government in recent years, the University of Alberta has made critical gains in the internationalization of our research and teaching activities. For example:

- The University of Alberta has partnered with Germany's largest scientific organization, the Helmholtz Association of German Research Centres, to form the Helmholtz Alberta Initiative. The Government of Alberta committed \$25 million to the project, while the Helmholtz Association committed €25 million over a five-year timeframe.
- The Li Ka Shing (Canada) Foundation recently gave the University of Alberta \$28 million, the largest cash donation in the university's history. Along with funding of \$52.5 million from the Government of Alberta, this established the Li Ka Shing Institute for Virology.
- Through targeted efforts, the University of Alberta has signed agreements with the Indian Institute of Technology, Bombay, the Indian Institute of Science, Bangalore, as well as with industry leaders Tata Consultancy Services.

The overall aim of these kinds of partnerships is to establish the University of Alberta as a leading global institution in order to facilitate research and teaching with international impact and influence. Alberta needs and deserves the benefits that a globally recognized institution brings to its citizenry, who move internationally, and its industries, which engage globally. Alberta's ability to capitalize on strategic opportunities, find effective solutions to issues of provincial interest, and provide leadership in areas of international importance is directly linked to this university's ability to attract the world's best, to partner with global innovators, and to compete at the highest levels on the international stage.

A global university is not just a competitor on the international stage; more importantly, it is a contributor to and leader in the global community. International organizations such as the World Economic Forum and the United Nations continue to remind us that many of the most critical risks and challenges we face—such as climate change, resource scarcity, food security, disease, and armed conflict—cannot be defined by national borders or solved by one country alone. These require collective, international efforts across economic, political, academic, and business sectors to find solutions quickly and efficiently.

Alberta and the University of Alberta are in a position to make a leadership contribution—especially in strategic areas such as energy, water, food security, and health. Now is the time to invest in the talent, knowledge, innovation, and partnerships that will make Alberta a global leader.

Academic Overview

The modern state university has sprung from a demand on the part of the people themselves for intellectual recognition, a recognition which only a century ago was denied them. The result is that such institutions must be conducted in such a way as to relate them closely as possible to the life of the people. The people demand that knowledge shall not alone be the concern of scholars. The uplifting of the whole people shall be its final goal.

Henry Marshall Tory, 1908

The University of Alberta is recognized not only as one of Canada's leading comprehensive academic and research institutions but also as one of the top 100 public universities in the world. Our reputation attracts highly-qualified undergraduate and graduate students as well as post-doctoral fellows from Alberta, across Canada and abroad who are seeking exceptional learning opportunities that integrate research and creative activities, international experiences, and community service. Such opportunities are the hallmark of leading teaching and research-intensive universities like the U of A because they are essential for preparing students to become well-educated, socially-engaged, globally-aware citizens prepared to join the workforce of today and tomorrow.

The strength of the U of A is founded first and foremost on the quality and diversity of our people, programming, research, and resources. A robust professoriate is the essential foundation for the rigorous and challenging inquiry-based undergraduate education and learning environment to which we are committed and that only a research-intensive university can produce and nurture. Sustaining our research and teaching capacity is our greatest priority and most urgent need if we are to continue to deliver to our students and the province of Alberta the quality, breadth and innovative kinds of education and research that is needed to achieve and maintain social well-being and economic prosperity.

Over the past decade, the U of A's five campuses have experienced tremendous growth which has supported and made possible innovative new programs and stronger connections to communities near and far. These five campuses offer students a range of experience, from the intimacy of the rural Augustana Campus and the French-speaking environment of Campus Saint-Jean to the physical recreation and agricultural research environment of South Campus, the urban vibrancy and integration of Enterprise Square, and the large, dynamic, heavily populated, multidisciplinary learning and research environments of the North Campus. Undergraduate and graduate enrolments have expanded due to provincial investment, and new and repurposed state-of-the-art space for modern forms of education and research has been added. At the same time, the professoriate has been renewed and reinvigorated and had begun to expand through hiring of internationally-competitive scholars.

Over the past two years, however, the freezing of the Campus Alberta grant has impeded our ability to capitalize on the advances we have made. With two years of no budget increases, we have reached a tipping point where we are beginning to see erosion of the critical mass of professors and students that had been built during years of sustained investment. Furthermore, while the number and diversity of U of A campuses allows us to expand programming, research and internship opportunities in rural Alberta and for underrepresented populations, it also means that each campus requires appropriate and sufficient resources to support their distinctive recruitment, programming, research, community, and facilities needs.

Renewal is essential to the health and vigour of a comprehensive academic and research intensive university, and only with continued and increasing support, will the U of A remain in a strong position to manage the challenges and pressures that we will face during the period of our new academic plan, *Dare to Deliver 2011-2015*. These include:

- Changing demographic trends in the student population
- Resource constraints that adversely affect the size and range of the professoriate as well as student to faculty ratios
- Emergence of new technology required in teaching, learning, and research
- Demands for new programs and research that encompass new forms of learning and knowledge and cross conventional disciplinary borders
- New structures in research funding, and
- Competition for the best students and researchers from increasing numbers of post-secondary institutions around the world.

Core Principles

The overarching principle that guides our academic enterprise is balance—balance between the foundational arts and science faculties and the professional faculties, the number of undergraduate and graduate students, domestic and international students, and professors and students. Overall, we strive for a balance between excellent teaching and learning in academic programs and ground-breaking research and creative activity, across seven areas of critical human activity that are studied in interdisciplinary ways: food and bioresources; energy; environment; health and wellness; humanities and fine arts; science and technologies; and society and culture. This balanced academy allows the university to help define the innovation landscape within Alberta, to create global leadership, and to improve social outcomes.

Remaining core principles that guide our academic programming and research planning are:

- Ensuring positive faculty and student experiences, engagement, and retention, as well as student completion rates.
- Sustaining an undergraduate learning environment that capitalizes on faculty research and scholarship activities.
- Assuring access to under-represented groups, particularly Aboriginal and rural students.
- Requiring that all student spaces be fully funded to ensure a high quality teaching and learning environment.
- Strategically acquiring and allocating resources to continually renew programming, research, scholarship, and creative activities that deliver leading-edge knowledge across disciplines.
- Delivering intellectual quality and capacity to Alberta’s knowledge economy and innovation environment.
- Leveraging and extending international consortia to globalize research activities, deliver shared credential graduate programs with top calibre partner institutions, and attract more international undergraduate and graduate students, postdoctoral fellows, and international research investment to Alberta.
- Strategically managing and advancing share research resources across the university to accelerate and maximize the talents and initiatives of our people.

Finally, to continue to provide this breadth of activity, and to achieve and maintain the quality and success for which we strive, our academic programming and research enterprise must remain deeply and solidly grounded on and matched by essential new or enhanced core physical facilities, sophisticated information technology, and extraordinary knowledge resources. The U of A’s outstanding research library of record is one such resource—it is the second largest in Canada and widely considered to rank among the top 15 in North America.

In 2012-13, consistent with U of A’s institutional vision articulated in *Dare to Discover* and academic plan articulated in *Dare to Deliver 2011-15*, we will strive to sustain our range of programming and

research in a dynamic, relevant, responsive, and innovative fashion, relying on the flexibility that the Campus Alberta grant offers in combination with our entrepreneurial and creative spirit.

Part A: Access and Programming

Consistent with other leading global institutions and our provincial mandate, the U of A is committed to creating a diverse, comprehensive educational environment that sustains intellectual and organizational strength and leadership through balance across the academy. We offer students a range of programs, in both our core foundational faculties and specialized professional faculties, which allows for flexibility in the pursuit of advanced education, with various entry and exit points for acquiring post-secondary credentials. Our undergraduate, masters, and doctoral degrees are buttressed by pre-baccalaureate diploma programs, embedded and freestanding certificate programs, and post-doctoral fellowships. These academic programs are complemented by an important array of co-curricular and continuing education opportunities that enhance student and alumni education at all levels through the experience and practice of teamwork and development of essential professional and workforce skills.

Alignment with Alberta's Priorities

The U of A is committed to offering a breadth and depth of programming to a broad and diverse demographic of undergraduate and graduate students with a range of interests, aspirations, and needs. This array of students includes high school graduates from Alberta, Canada, and abroad; transfer students from our partners in Alberta's Comprehensive Academic and Research Institution (CARI) sector as well as institutions in other Campus Alberta sectors; francophone and francophile students seeking a post-secondary degree or diploma in a French-language or bilingual French-English learning environment; mature students seeking a university education for the first time and those returning for advanced study; Aboriginal, Métis and Inuit students from urban, rural, and reserve communities; rural and urban students seeking a rural-based education and/or employment in rural areas following graduation; immigrant Canadians; those from socio-economic groups for whom university access is a financial challenge; and those who are the first in their family to attend university.

Nearly every ministry in the Alberta government has an Aboriginal initiative in alignment with provincial objectives; so, too, nearly every Faculty at the U of A has one or more key initiatives focused on Aboriginal education and research priorities. The U of A stands respectfully on lands once known only by Aboriginal peoples and we have a particular commitment and responsibility to Alberta's Aboriginal peoples. Our academic plan, *Dare to Deliver 2011-2015* commits to celebrating diverse Aboriginal histories and cultures throughout the physical, virtual, ceremonial and intellectual spaces of the university. The U of A hosts the only Faculty of Native Studies in Canada. We have increased the number of Aboriginal persons appointed as academic staff as well as undertaken numerous initiatives to increase the number of Aboriginal students. Our Access and Programming Plan includes several programs, including the highly successful Aboriginal Teacher Education Program (ATEP) in the Faculty of Education. Capping these initiatives is the high-priority capital request for funding to build a Gathering Place for Aboriginal and other students, faculty and staff on our North Campus.

In the last decade, the U of A has also emerged as a national leader in science and policy to improve health and education for Aboriginal peoples. Not only have we educated Aboriginal teachers who have in turn had a significant impact on education in rural and Aboriginal communities across Alberta, we have trained more Aboriginal physicians than any other institution in Canada, and the recent appointment of a Canada Research Chair in Aboriginal and Global Health is a sign of our continuing priorities in this area. We are home to the multidisciplinary CIHR Network for Aboriginal Health-Research Training, which assembles professionals in Aboriginal health care, education, public health, sociology, nursing, and

nutrition. As well, the Aboriginal Health and Education initiative investigates culturally appropriate health care and services, and indigenous approaches to health service and delivery issues. These initiatives also support the priority given to marginalized populations within the *Alberta Health Research Innovation Strategy*. [See also page XX (vignette)].

As one of the first institutions founded by the new province of Alberta in 1908, the U of A takes seriously its responsibility to support and participate in the social and economic lives of rural Albertans. We offer outstanding educational opportunities to students in a rural environment as well as leading-edge research on important rural issues. In Camrose, the U of A's Augustana Campus offers a residential campus experience for students seeking a liberal arts and sciences undergraduate education at a research-intensive university in a rural community. Augustana, as well as the faculties of Education and Medicine and Dentistry, offers practicum placements for students in rural Alberta while the faculties of Education, Nursing and Rehabilitation Medicine partner with Augustana for delivery of some programs based on North Campus to rural students. Augustana also hosts an Aboriginal Student Office to recruit and support Aboriginal students and has transfer agreements with Campus Alberta institutions in smaller communities such as Red Deer and Grande Prairie. U of A's Augustana Campus also has a special responsibility to partner with and contribute to the quality of life in the city of Camrose. The proposed new Camrose Performing Arts Centre project is a stellar example of community-university partnership that will enrich the intellectual and cultural lives of students and Camrose residents [see page XX for details.] The Alberta Centre for Sustainable Rural Communities, an initiative of the Faculties of Agriculture, Life, and Environmental Sciences and Augustana, is just one example of rural research initiatives.

The University of Alberta offers francophone Albertans, western Canadians, and international students a liberal arts undergraduate education in French at Campus Saint-Jean, located in and an integral part of Edmonton's francophone community. CSJ too has a responsibility to contribute not only to the intellectual and cultural enrichment of its students but also to Alberta's francophone communities. In addition to arts and sciences undergraduate and graduate programs, CSJ offers a bilingual BSc in Environmental and Conservation Sciences, and in partnership with U of A's professional faculties, CSJ also offers bilingual undergraduate degrees in Nursing, Commerce, and Engineering to students registered in those faculties. A majority of teachers in Alberta's immersion and francophone schools have studied at CSJ. In 2012, U of A will expand access to French-speaking students seeking pre-baccalaureate education with the introduction of our first college-level program, a two-year bilingual diploma in Business Administration at the new Collège Saint-Jean. More college diploma programs are planned subject to securing additional base funding. [See also page XX (vignette)].

Access and Enrolment Plan

Top universities in North America and around the world identify engaged and enriched undergraduate and graduate student environments and enhanced teaching and research environments through three critical target ratios: 1:3 graduate student to undergraduate student, 1:4 professor to graduate student, and 1:16 professor to overall student number. To achieve these ratios and their effects, we must continue to differentially increase the number of graduate students while maintaining a stable undergraduate enrolment and increasing the complement of professors.

Furthermore, to serve as a globally-engaged and internationally-respected university, we must attain an international undergraduate enrolment target of 15 percent, and sustain our international graduate enrolment at 30 percent or above of the graduate student body.

The U of A's institutional benchmark for access is based on a detailed analysis of our enrolment data over the past decade including:

- base enrolments per degree program
- ACCESS and EPE funded incremental enrolment over time, and
- the modified rate of increase in incremental FLEs from 2009–10 to 2013–14 following cessation of the EPE program.

The impact of the latter was moderated in 2011-12 when new base funding to relieve enrolment pressures was received from the Ministry of Advanced Education and Technology, including funding for 225 FLEs specifically to maintain third- and fourth-year Engineering enrolments, thus raising our 2010-11 base enrolment target of 32,780 to 33,005 in 2011-12. In addition, the ministry approved a reallocation of FLEs to the newly approved B.A. and B.Sc. in Planning, ensuring its implementation as planned. Over the next three years, to encourage and accommodate new programming and to increase graduate enrolment, we anticipate some further reallocation of FLEs, in particular from undergraduate to graduate programs, within our new overall projected enrolment number of 33,005, a number that we plan to maintain through 2014-15.

In the health sciences disciplines, specifically, trends indicate that stable enrolment is predictable until 2014 with minor changes each year for the additional health graduates that are or may be funded. The Health Workforce Action Plan (HWAP) program targets (e.g., nursing, medicine) will remain in place to 2013–14.

Finally, using 2004–05 as the base year, we have differentially increased the numbers of graduate students and medical students, while maintaining our undergraduate population. That is, between 2004–05 and 2010-11, we increased graduate student enrolment by 37 percent (from 4900 to 6734 FLEs) and medical student enrolment by 44 percent (from 505 to 729 FLEs). We intend to continue the differential increase of graduate students until institutional target ratios are achieved. While progress had been made between 2007 and 2009, with two consecutive years of no change in the Campus Alberta grant, progress on student ratios has stalled and the professor to student ratio has returned to pre-2007 levels.

The financial, human, and capital resource implications associated with our projected mix of students are found in the Resources and Risk Implication chapter.

Access and Programming Themes, Goals, and Resources Requests

With input from all U of A faculties and academic administrative groups, 24 access and programming goals, strategies, and initiatives have been organized under the following five overarching themes. We plan to maintain these five themes during the four-year lifespan of the current academic plan which encompasses the interdependent activities of education, research, and community service that comprise the U of A's mandate.

- I. Quality:** Quality of people, programs, and experiences defines the world's leading universities, in general, and the U of A, in particular.
- II. The Learning Environment:** The U of A's learning environment is comprised of quality teaching, both physical and virtual, with appropriate and relevant use of various learning technologies.
- III. Student Experience and Engagement:** The U of A strives to improve student retention and completion rates, by creating an outstanding student experience through engaging all students in intellectual and creative activities in the classroom, studio, lab, field or community, and by committing to providing an array of co-curricular opportunities for students,

- IV. Innovative Programming:** New and continuing innovative and relevant programs integrated in U of A's research-intensive environment are the foundation for undergraduate and graduate education, as well as pre-baccalaureate and continuing education programs.
- V. Connections and Collaborations:** The U of A is strongly positioned to offer innovative and interdisciplinary programming through interfaculty connections, Campus Alberta collaborations, and with national and international consortia.

The goals, strategies, and initiatives under these themes as detailed on pages 41-62 are by no means inclusive of the full range and quality of activity ongoing at the University of Alberta; such detail would be impossible to capture in this document. Instead, we have highlighted examples of current initiatives and, for a number of goals and strategies, provided selected updates of implementation in 2011 and plans for further development in 2012.

Access Theme I: Quality

“Certain characteristics define every major university. Chief among these is the quality of its people—faculty, staff, students, and alumni. Attracting and engaging talented, committed people is the hallmark of a great university and certainly the foundation of the University of Alberta’s ongoing successes. This is clearly evident in the professoriate, research, and support staff across the academy, and also true of the undergraduates, graduate students, and postdoctoral fellows that surge onto campus each year, the lifeblood of the University. We will continue to celebrate and find inspiration in the quality and dedication of all members of the academy.” (University of Alberta Academic Plan, Dare to Deliver 2011–2015)

Quality is central to access and programming. Top-quality professors and administrators help to renew and design high quality, innovative programs that serve to entice, excite, attract, and retain quality undergraduate and graduate students. We aim to provide high-quality student experiences that are life altering, resulting in graduates who are engaged citizens prepared to contribute to the social and economic well-being of the province, and to do their part in fulfilling the U of A promise to uplift the whole people.

Access Goal 1: Attract and retain outstanding students.

Access Goal 2: Provide foundational support structures for students to create a nurturing environment that allows for positive student experience and engagement.

Access Goal 3: Provide foundational support structures for Aboriginal students in order to create *a supportive and nurturing environment that allows for positive student experience and engagement.*

Access Goal 4: Recognize and celebrate the accomplishments of our students.

Access Goal 5: Implement a system of quality assurance processes and mechanisms to ensure the programs offered by the University of Alberta are of the highest quality.

Access Theme II: The Learning Environment

“Our research and creative activities are driven by both passionate curiosity and pressing social need, fostering a culture that enables the pursuit of both. It sets an indelible example of engaged scholarship

and civic involvement for scholars at every level.” (University of Alberta Academic Plan, Dare to Deliver 2011–2015)

Rapid evolution of the knowledge and skills required of university graduates has resulted in increasing demands for innovation in teaching and learning. The learning environment in a research-intensive university comprises not only the physical spaces for research, teaching and learning, but also policies that assure high quality instruction and optimal learning, continuous professional development of instructors, and enhanced integration of research and research opportunities into undergraduate experiences. Further, advances in information and communications technology continue to transform the digital learning environment. The U of A’s information technology infrastructure is evolving to meet the demands of the global shift to mobile computing. We are positioning our institution, and in particular our learning environment, to support the mobile, connected IT campus of the not-so-distant future. The research library lies at the heart of a great learning environment in a top-tier university. The U of A is distinguished by its library, the second largest in Canada and ranked the 11th best research library in North America. The U of A Library is one of a handful worldwide that serves as a “library of record” – a physical and digital series of holdings and collections of sufficient quality, magnitude, and diversity that extends beyond its institutional mandate to serve provincial, national, and international roles. The library contributes in extraordinary ways to creating U of A’s incomparable learning environment for students.

Access Goal 6: Ensure a high level of teaching quality.

Access Goal 7: Ensure the development and maintenance of quality formal and informal learning spaces.

Access Goal 8: Enhance the digital environment and online presence of our institution.

Access Theme III: Student Experience and Engagement

“A great university has at its foundation the ability to offer an outstanding student experience. While that experience starts in the classroom, studio, laboratory, field, or community the research-intensive environment at the University of Alberta offers a qualitatively unique educational and training experience for students through curricular and co-curricular activities, students learn fundamental skills, attitudes and values as they contribute to the advancement of knowledge and society.” (University of Alberta Academic Plan, Dare to Deliver 2011–2015)

The University of Alberta student experience encompasses opportunities for academic engagement as well as social and community involvement; it also promotes health and wellness alongside career and life development. We value the involvement of students with professors, other students, librarians, staff, alumni, and the broader community, both inside and outside the classroom. The outcomes of engagement are many, but most readily identifiable are the pursuit of truth, involvement in communities both near and far, a sense of belonging and affiliation with the U of A, as well as self-formation and personal development. Ideally, all students will seize opportunities beyond their academic programs and aspire to learn new life skills, deepen or broaden their engagement with their creative, athletic, or intellectual passions, and to contribute to their university, communities and the world in countless ways.

Because the U of A houses only about 13 percent of our student population on our campuses, it is imperative that we offer students multiple ways and means to engage deeply during the hours spent on campus so that their experiences here forms an integral part of their lives both in and away from the university, during their years of study and in the years beyond. To that end, the university supports the development of the whole student and dedicates resources to both academic and student life development.

U of A also supports Aboriginal, rural, and francophone students who require additional services and facilities for their distinctive experiences and needs, including translation into French of English-language materials, specialized academic and personal counselling, and core sciences facilities on the Saint-Jean and Augustana campuses. The Faculty of Native Studies, Augustana Campus and Campus Saint-Jean have growing communities of such students drawn from across Alberta and are increasingly developing programs and services required to enhance their experience and engagement. Operating budgets in these faculties are no longer sufficient to allow these faculties to develop new initiatives or meet the demand for these services and programs. (See also Access Strategy 3.1)

Access Goal 9: Improve admissions and registration processes for all students.

Access Goal 10: Support programs and initiatives to help increase retention and completion rates.

Access Goal 11: Provide enhanced experiential learning opportunities.

Access Goal 12: Enhance extra- and co-curricular learning opportunities (i.e., supporting services, activities, and campus facilities that encourage and help facilitate student success).

Access Goal 13: Continue to create international opportunities for students.

Access Goal 14: Provide foundational support structures for students in order to create a nurturing environment that allows for positive student experience and engagement.

Access Goal 15: Create a safe and secure environment on U of A campuses that is supportive of a positive student experience.

Access Theme IV: Innovative Programming

“Dare to Deliver 2011-15 challenges members of the academy to continue to think deeply about how to connect their research with their students’ learning experiences, and to engage students in the excitement of pursuing their own research projects. ... We will harness the innovative talents of our teachers and researchers to find fresh new ways of integrating the university’s tremendous breadth and depth in traditional academic disciplines with training focused on specific attributes and competencies.”
(University of Alberta Academic Plan, Dare to Deliver 2011–2015)

During the past two years when financial resources for new programming have been limited or not available, faculties and departments have focused on innovative methods to ensure that programming can continue to evolve to meet student and employment demands. Curricular and program reviews and renewal have become an increasing focus with particular emphasis on possibilities for reallocation of existing resources, including FLEs, from current programs to those with greater demand or new relevancy.

U of A is also actively exploring and implementing new methods and programming to provide current and prospective students with opportunities to ladder from one level of post-secondary study to another, and to ladder from post-secondary study to additional professional development. These laddering opportunities take a number of different forms designed to meet the needs of different kinds of learners, including certificates, summer institutes, bridging programs, and pre-baccalaureate college-level programming.

Furthermore, as we work toward a ratio of one graduate student to three undergraduate students, in line with the world's top public universities, we are differentially increasing graduate student enrolment relative to undergraduate enrolment. Thus, we have a particular focus on innovative programming at the graduate level both to attract outstanding graduate students and to lead programming for advanced study in new and important fields.

See Access Goal 16 for a list of program initiatives at the U of A, including recently approved or newly implemented programs and new programs being contemplated.

Access Goal 16: Continue development of additional innovative programming to meet the needs of learners and the community.

Access Goal 17: Increase access to current high-demand programs.

Access Goal 18: Ensure appropriateness and relevancy through course and program reform.

Access Goal 19: Provide valuable laddering opportunities from high school to post-secondary study, undergraduate to graduate study, and post-secondary study to professional experience.

Access Goal 20: Continue to offer a range of lifelong learning opportunities through continuing and professional education programs.

Access Theme V: Connections and Collaborations

“By connecting our students and researchers with institutions and communities around the globe, we will be able to influence and help shape the future prosperity and well being of the province, our country and the world.” (University of Alberta Academic Plan, Dare to Deliver 2011–2015)

The University of Alberta has developed many connections and collaborations across all portfolios. From an academic programming perspective, partnerships are formed internally among faculties on our campuses and externally across a range of sectors, including Campus Alberta, other Canadian universities, and well-ranked international universities and research institutions. Our goals are threefold:

- to offer students innovative and relevant globalized educational opportunities,
- to engage students in the study of both established and emerging knowledge in a learning environment of active, internationally recognized research, and
- to leverage talent, expertise, and financial resources.

Collaborative programming—across the institution, throughout Campus Alberta, and across the nation and world—creates exciting opportunities for students. We are examining collaborative programming options for both new and existing programs as part of program renewal at our institution. Cost analyses of partnerships will be an important consideration in moving forward with these options. (See Access Strategy 18.3 for a few specific examples of interdisciplinary collaborative program development. A full list of program initiatives being considered at the U of A can be found in Access Goal 16.)

Access Goal 21: Increase interdisciplinary, collaborative program and initiative development in order to offer students innovative and relevant educational opportunities.

Access Goal 22: Maximize program innovation at the Campus Alberta level in order to create

exciting learning opportunities and program efficiencies.

Access Goal 23: Maximize program innovation in collaboration with national partners in order to create exciting learning opportunities.

Access Goal 24: Leverage and extend our international research consortia, and use these as a platform for delivering innovative shared credential graduate programs with top-calibre partner institutions.

Access and Programming Measures: How we track our progress

Access Theme I: Quality:

- application to registration yield
- home address of student application
- number of self-identified Aboriginal students, faculty, and staff
- retention and completion rates of undergraduate and graduate students
- ratios of undergraduate to graduate students; professors to all students; professors to graduate students
- student satisfaction

Access Theme II: The Learning Environment:

- participation rate in CTL programming and number of TLEF applications
- number of national teaching award recipients
- student satisfaction

Access Theme III: Student Experience and Engagement:

- application, admission and registration yields
- retention and completion rates
- student satisfaction
- number of funded internship and undergraduate research opportunities and study abroad opportunities

Access Theme IV: Innovative Programming:

- number of new programs approved and/or implemented
- application, admission and registration yield rates

Access Theme V: Connections and Collaborations:

- number of new collaborative partnerships each year
- participation rates in internship and study abroad programming

Access and Programming Resource Requests:

Access Theme I: Quality	Base Funding (\$ 000)
Undergraduate scholarships and support services for students recruited from underrepresented populations	3.00
Expand Augustana Faculty rural summer internship programming	0.20
Aboriginal Student recruitment and programming	2.50
TOTAL	5.70

Access Theme III: Student Experience and Engagement	Base Funding (\$ 000)
Support for French language program and student support services at Campus Saint-Jean	0.75
International student scholarships	3.00
International internship and study abroad student support	0.80
TOTAL	4.55

Access Theme IV: Connections and Collaborations	Base Funding (\$ 000)
Additional FLEs in PH.D. in Engineering	1.10
Health team pathways academic programming	0.25
New program and operating costs for Collège Saint-Jean	1.75
TOTAL	3.10

Access and Programming Strategies (in detail)

Access Theme I: Quality

Access Goal 1: Attract and retain outstanding students.

Access Strategy 1.1—Recruit exceptional *undergraduate* students locally, nationally, and internationally.

- Evaluate and improve institutional recruitment activities and admission processes.
 - ✓ 2011: The Academic Policy and Process Review Task Force (APPR) is now reviewing processes for transfer students.
- Continue focused recruitment nationally in Vancouver, Calgary, and Toronto.
- Improve the web strategy for recruitment.
 - ✓ 2011: Redesigned U of A website was launched with particular focus on recruitment and student engagement.
 - 2012: Faculties are building on this new platform for their own webpages and web presences.
- Progress towards an international undergraduate enrolment target of 15 percent of undergraduate students (targeted countries for undergraduate recruitment include: China, India, U.S., Malaysia, and the Middle East).
 - ✓ 2011: Fall 2011 undergraduate international enrolment was 9%, up from 7% in 2009.
- Implement and continue to explore additional recruitment strategies for international students including foundation programs, agents, and articulation programs.
- Explore options to develop a university-wide preparation year program for qualified international students who are unable to achieve immediate entry to university because of academic English-language skills.
 - ✓ 2011: Expanded enrolment and support programming in the Bridging Program for international students. Registration in Fall 2011 was 354 students, up 79% from 198 in 2010.
- Develop effective recruitment techniques targeted to diverse communities of Aboriginal learners.
 - ✓ Recruitment materials developed specifically for Aboriginal prospective students.
 - ✓ Recruiter in the Office of the Registrar devoted to Aboriginal recruitment.
 - ✓ Aboriginal Discovery Days, an opportunity for prospective Aboriginal students to tour campuses and learn about programs and services.
 - ✓ Aboriginal Students Office at Augustana Campus serves as a key liaison with selected communities, including Ermineskin and Samson First Nations (Hobbema).
 - ✓ The number of self-identified Aboriginal students at Augustana Campus has doubled since 2008.
 - ✓ 2011: U of A Annual Round Dance was held at Augustana Campus with approximately 1000 guests and over 100 volunteers.
- Increase the recruitment and enrolment of rural students through planned recruitment visits to rural Alberta, specially organized Rural Discovery Days, and scheduled early admission and registration workshops throughout the province.
- Support recruitment and retention initiatives to increase undergraduate enrolment in the faculties of Native Studies, Augustana, and Saint-Jean.
 - ✓ 2011: Faculty of Native Studies' enrolment increased by 29 percent from 83 FLEs in Fall

2009-10 to 107 in Fall 2011-12.

Resource Request:

- ❖ **\$3.0 million for undergraduate scholarships and support services for students recruited from underserved populations.**

Access Strategy 1.2—Retain exceptional *undergraduate* students and increase completion rates.

- See also Theme III: Student Experience and Engagement for in-depth information.
- Ensure the development of housing on campus that includes appealing and relevant programming elements (e.g., cohort learning) for undergraduate students.
- Develop programs and partnerships with other institutions that allow for program delivery close to where students live throughout the province.
 - ✓ 2011: Faculty of Education launched M.Ed. program in Indigenous Leadership at Blue Quills College. Graduates study at Blue Quills but will receive U of A degree.

Access Strategy 1.3—Expand further the integration of teaching and research, to offer undergraduate students a unique educational experience that fully leverages the U of A's status as a research intensive university that invests strongly in and places high value on leading edge scholarship and teaching and learning.

- Re-allocate internal resources to administer and co-ordinate research opportunities for students across faculties and within the community, in collaboration with existing mechanisms, and with external partners.
 - ✓ 2011: Launched the Undergraduate Research Initiative to facilitate undergraduate student involvement in research activities with support of the U of A Alumni Annual Fund. See www.uri.ualberta.ca.
- Seek additional resources to increase the number of undergraduate research internships available to a wider variety of undergraduate students.
- Explore increased undergraduate internship opportunities in rural Alberta.
 - 2011: Augustana Faculty offered 12 in Community Based Learning undergraduate rural summer internships.

Resource request:

- ❖ **\$200,000 to expand Augustana Faculty's rural summer internship programming**

- Increase the number of structured undergraduate research opportunities throughout the academy (e.g., self-selected learning opportunities such as directed studies and attendance at conferences; research opportunities as part of courses).
- Ensure mechanisms are in place to assist undergraduate students in finding opportunities to participate in research projects as research assistants.
 - ✓ 2011: The Undergraduate Research Initiative Office was established to identify, seek, and link students to research opportunities and funding resources.
- Explore creating, in conjunction with the Students' Union, an annual undergraduate research symposium.
 - ✓ 2011: In November, the Students' Union hosted the first annual Undergraduate Research Symposium. More than 150 undergraduate students participated in the symposium, which featured guest speakers and adjudicated poster presentations. See

www.su.ualberta.ca/about/news/entr/68/ungraduate-research-symposium.

- Expand the number of disciplines that are participating in NSERC-MITACS (Mathematics of Information Technology and Complex Systems) internship programs, which are an important mechanism for attracting international undergraduate and graduate applicants to our institution.
 - ✓ 2011: New NSERC-MITACS participants included earth sciences, life sciences, social sciences, fine arts, and humanities. The number of students supported grew from 14 in 2009-10 to 47 in 2010-11.

Access Strategy 1.4—Differentially increase *graduate* student enrolment.

- Develop and maintain effective recruitment strategies for graduate students for all graduate programs. Recruitment activities should be local, national, and international.
- Recruit the U of A's best undergraduate students to graduate programs by ensuring enhanced undergraduate research and creative opportunities across the academy.
 - ✓ 2011: Undergraduate Research Initiative and the Students' Union Undergraduate Research Symposium Launch.
- Identify current master's students who are promising candidates for doctoral programs, either after completion of their master's program or through fast-track options.
- Recognize, implement, and connect the roles of departments and the Faculty of Graduate Studies and Research in the graduate student recruitment and admissions process.
- Enhance graduate research opportunities across the academy and in areas identified as existing or emerging areas of strength that will distinguish the U of A nationally and internationally.
- Use the federal Vanier Scholarship program to recruit top international graduate students.
- Engage alumni and current students in activities that support international recruitment.
- See Access Strategy 16.4 for information on graduate recruitment through international training programs.

Access Strategy 1.5—Improve retention and completion rates of *graduate* students.

- Restructure the internal scholarship funds available and redeploy resources for most effective use.
 - ✓ 2011: Implementation of the Graduate Funding Task Force to support recruitment, foster retention, and assist completion.
- Ensure that funding, support, and recognition mechanisms are appropriate for all research, critical, and creative inquiry.
- Establish innovative scholarship networks within and between faculties, particularly in areas of disciplinary strength.
- Increase the graduate student scholarship pool through advancement and fund development.
- Ensure appropriate orientations for graduate students and graduate student supervisors.
- Ensure new graduate supervisors receive appropriate mentoring.
 - ✓ 2011: Implementation of the Quality in Graduate Student and Post-doctoral Fellow Supervision Advisory Committee to examine and recommend ways to foster and maintain excellence in supervision.
- Ensure appropriate counselling and ombudsperson support for graduate students.
- Ensure development of housing that is appealing to graduate students and supportive of their requirements.

- Provide professional development opportunities related to teaching for graduate students.
 - ✓ 2011: A new non-credit Graduate Teaching Program is in development in the Faculty of Graduate Studies and Research with launch planned for winter term 2012.

Access Goal 2: Provide foundational support structures for students to create a nurturing environment that allows for positive student experience and engagement.

Access Strategy 2.1—Reorganize student services to maximize support for students on all campuses.

- Create physical and virtual welcome centres for students.
 - ✓ 2011: A Virtual Welcome Centre concept for new students is under development by the Office of the Registrar, with preliminary planning underway for a physical presence within the repurposed facilities vacated for the Edmonton Clinic Health Academy.
- Continue to provide meaningful student orientations in department, faculties, and university-wide through Week of Welcome and other events.
 - ✓ 2011: The TURN (Transition to University: Residence Network) program was initiated to help students, who are the first generation in their families to attend university, adjust to their new environment. The program is delivered by Residence Services in collaboration with University Student Services.
- Ensure adequate counselling for mental health and academic success.
 - ✓ 2011: Services for students were strengthened by consolidating a range of student support services into a new Student Success Centre and Mental Health Centre.
- Create a seamless academic advising infrastructure across the university to support students.
- Provide specialized services for students that need accommodations for learning through the Specialized Support and Disability Services unit.
- Present university-wide services based on students' needs and wants, rather than by administrative unit, through consideration of development of a student web portal.
- Improve faculty-student connectivity and facilitate high-quality student access to instructors through the Birds of a Feather program, which aims to promote increased interactions and connections between undergraduate students and faculty members.
 - ✓ 2011: Birds of a Feather was incorporated into the mandate and activities of the Undergraduate Research Initiative.
- Foster relationships between and among all campuses for improved co-ordination and connectivity (social, campus recreation, cultural).
- Review support programs for international students, especially those designed to assist them in their cultural and linguistic transitions in coming to the U of A.
 - ✓ 2011: Focusing on this need are the expanded bridging program for international students as well as a new task force on Alternative Routes to Student Success.

Access Strategy 2.2—Create policies and procedures that enhance opportunity for student success.

- Ongoing communication and implementation of our newly approved Helping Individuals at Risk (HIAR) Policy.
 - ✓ 2011: the HIAR Policy and corresponding program are now in place and active.
- Implement behavioural residence and community standards that include a restorative justice model.
 - ✓ 2011: The Board of Governors approved this new model in spring 2011 and it was

implemented for Fall 2011.

- Ensure that administrative policies and procedures for academic programs do not present unnecessary barriers to student success and experience. The Academic Policy and Process Review Task Force (APPR) is responsible for this strategy.
 - ✓ 2011: Projects underway under the auspices of APPR include a review of international and Campus Alberta transfer credit practices at the U of A, consideration of a broader system to support students at academic risk, and the development of a certificate handbook to facilitate certificate-related initiatives.

Access Strategy 2.3—Provide financial assistance programs that support the educational aspiration of University of Alberta Students.

- Through the Student Resources Task Force, identify all sources of financial assistance, and remove barriers, if any, to accessing that assistance.
 - ✓ 2011: Development of the final report for this task force is underway.
- Ensure financial support that is currently available for undergraduate and graduate students is being used effectively and for maximum benefit.
 - ✓ 2011: The Graduate Funding Task Force was established.
- Use endowments to increase financial support for undergraduate and graduate students.
 - ✓ 2011: The University of Alberta Annual Fund contributed significant resources to launch and sustain into the near future three initiatives: the Undergraduate Research Initiative, the Green & Gold Student Leadership and Professional Development Grant, and the International Research Internship program.
- Work towards a financial infrastructure that strives to offer every interested and qualified individual an opportunity to complete a degree at the University of Alberta.

Access Goal 3—Provide foundational support structures for Aboriginal students in order to create a supportive and nurturing environment that allows for positive student experience and engagement.

Access Strategy 3.1—Provide appropriate student support for Aboriginal students in addition to goals listed in Access Strategies 2.1 and 2.2.

- Expand and develop effective and accessible academic support services that meet the unique needs of Aboriginal applicants and students, including the Transition Year Program (TYP) for Aboriginal students.
- Ensure appropriate development of initiatives for Aboriginal students through the Council for Aboriginal Initiatives.
- Raise the profile of existing programs (e.g., the Aboriginal Teaching Education Program) and develop new academic programs that are attractive and relevant for prospective Aboriginal students.
 - ✓ 2011: New certificate programs in Aboriginal Sport and Recreation and Aboriginal Governance and Partnership are two examples.
- Seek new resources to enhance Aboriginal student recruitment, services, engagement and experience, retention and completion initiatives in the Faculties of Native Studies, Augustana, Saint-Jean, and Education.

- Support social, housing, and child-care needs of Aboriginal learners through provision of on-campus housing and the construction of the Gathering Place.

Resource request:

- ❖ **\$2.5 million for Aboriginal student recruitment and programming.**

Access Goal 4—Recognize and celebrate the accomplishments of our students.

Access Strategy 4.1—Create and maintain formal celebratory events intended to recognize the efforts of our students, staff and faculty

- Celebrate accomplishments in learning and leadership through the Celebration of Teaching and Learning.
- Celebrate accomplishments in learning and discovery through the Research and Innovation Celebration.
 - ✓ 2011: The Celebration of Teaching and Learning and the Celebration of Research and Innovation were merged into a single ceremony: Celebrate! Teaching•Learning•Research. This new annual ceremony will provide an opportunity for the entire U of A community to recognize the exceptional accomplishments of students, instructors, classroom and lab support staff, and researchers.
- Create regular opportunities to highlight and recognize student achievement.
- Ensure we maintain the high standard we have set for meaningful convocation ceremonies, including special convocation recognition for Aboriginal students.
- Support the Students’ Union and Graduate Students’ Association in their annual awards events.

Access Goal 5—Implement a system of quality assurance processes and mechanisms to ensure the programs offered by the University of Alberta are of the highest quality.

Access Strategy 5.1—Continue to enhance our Unit Review processes.

- Unit reviews are part of the quality assurance process on our campuses. We will complete an internal review of our current process, and adjust and implement the new guidelines for reviews beginning in 2011–12.
 - ✓ 2011: Unit reviews have been undertaken in the Faculty of Education, the School of Public Health and the Office of the Registrar.
 - 2012: The Faculty of Engineering will undertake both accreditation and unit reviews.

Five-Year Plan for Academic Unit Reviews [reformatting required]

Academic Unit Name	Review Year	Site Visit Date
Faculty of Arts - Completed	2010-11	February 7-8, 2011
Augustana Faculty - Completed	2010-11	February 14-15, 2011
Faculty of Pharmacy and Pharmaceutical Sciences – Completed	2010-11	April 4-5, 2011
Faculty of Education	2011-12	November 7-8, 2011
School of Public Health	2011-12	April 30 – May 1, 2012
Faculty of Engineering	2012-13	TBD
Alberta School of Business	2013-14	TBD

Faculty of Extension	2013-14	TBD
Faculty of Rehabilitation Medicine	2013-14	TBD
Faculty of Graduate Studies & Research	2013-14	TBD
Faculté St-Jean	2013-14	TBD
Faculty of Law	2013-14	TBD
Faculty of Native Studies	2013-14	TBD
Faculty of Agricultural, Life & Environmental Sciences	2014-15	TBD
Faculty of Medicine & Dentistry	2014-15	TBD
Faculty of Nursing	2014-15	TBD
Faculty of Arts	2015-16	TBD
Augustana Faculty	2015-16	TBD
Faculty of Physical Education and Recreation	2015-16	TBD
Faculty of Science	2015-16	TBD

Access Strategy 5.2—Ensure accreditation reviews, where required, are done on a timely basis.

- ✓ 2011: Successful accreditation review of the Faculty of Medicine and Dentistry. The report on the accreditation review of the Faculty of Nursing is forthcoming in spring 2012.
- 2012: Accreditation reviews scheduled for 2012-13 include the Faculty of Law (new Federation of Law Societies of Canada Report on the content of the Canadian common law degree) and the Faculty of Engineering.
- Ongoing curriculum development process in order to meet accreditation standards to become the first free-standing School of Public Health in Canada.
 - 2012: the accreditation review team will visit the School of Public Health in spring 2012.

Access Strategy 5.3—Continue to review and update program content and relevancy through an internal curricular review process.

- Some specific examples of curricular review initiatives identified by units for review in 2012-13 include:
 - Ongoing curricular changes in the Faculty Agricultural, Life and Environmental Sciences, including changes to the Environmental and Conservation Sciences and Forestry degree programs and completion of the review of the Nutrition and Food Science program.
 - Review of the Bachelor of Arts curriculum in the Faculty of Arts. Specific changes may include amalgamation of language programs in East Asian Studies and introduction of a new Korean studies concentration, and splitting Middle East and African Studies.
 - Curricular review and renewal in the MD and the DDS programs.
 - Ongoing review of impacts of recent curricular changes to the After Degree program in Nursing. Curricular and program review at Campus Saint-Jean.
 - Program review in the Faculty of Science in the Psychology, Paleontology, and Computing Science programs and to the BSc General program.

Access Strategy 5.4— Participate in Campus Alberta Quality Council Audit Pilot Project.

- ✓ 2011: The first pilot joint AUA/CAQC Internal Quality Assurance Process audit took place at the

University of Alberta.

Access Strategy 5.5—Foster institutional dialogue about the desired attributes and competencies of University of Alberta graduates across all programs.

- Many units will articulate a set of skills, attitudes, and values that are or will be incorporated into graduate and undergraduate programs and supporting units. These identified skills, attitudes, and values will be developed through targeted learning opportunities in both credit and non-credit spheres.
- ✓ 2011: The GFC Committee on the Learning Environment has initiated an Attributes and Competencies Sub-Committee to consider a list of competencies for the institution as a whole, above and beyond those already in place in individual Faculties and programs.

Access Theme II: Learning Environment

Access Goal 6—Ensure a high level of teaching quality.

Access Strategy 6.1— Encourage and provide professional development for all instructors.

- Provide professional development opportunities for instructors through the Centre for Teaching and Learning and the EFF Teaching and Learning Enhancement Fund (TLEF).
- Encourage informal and formal mentoring programs for the development of teaching.
- Implement the Certificate in Teaching and Learning in Higher Education.
- Encourage the adoption of leading-edge information technology resources and provide training and support for instructors in the use of these resources.

Access Strategy 6.2—Recognize the value of high-quality teaching.

- Recognize professors and instructors for excellence in the classroom at Celebrate! Teaching - Learning - Research.
- Highlight and recognize the importance of teaching and learning in the annual Faculty Evaluation Process.
- Highlight accomplishments in teaching and learning through the annual Festival of Teaching.
 - ✓ 2011: The Festival of Teaching was expanded to a four-day event, with open classrooms, an international keynote speaker, a TED-talk style event, and teaching innovation banner event.
- Nominate our best teachers for prestigious national and international awards.
 - ✓ 2011: Two more professors won Canada's top teaching award, the 3M Teaching Fellowship, bringing to 34 the number of 3M awards won by U of A instructors, the highest number in Canada.
 - 2012: Implement the newly created Award for Excellence in Graduate Teaching, approved by General Faculties Council in November 2011.

Access Strategy 6.3—Examine assessment and grading practices.

- Review our university-wide principles and practices on assessment and grading.
 - ✓ 2011: The two-year review was completed.
- Informed by academy-wide discussion and participation, renew university-wide policies and implement new procedures, as necessary, on assessment and grading.

- 2012: Recommended changes to policy and procedure begin GFC consultations in winter 2012.

Access Goal 7—Ensure the development and maintenance of quality formal and informal learning spaces

Access Strategy 7.1—Establish a Learning Spaces Subcommittee.

- Under the direction of the Facilities Development Committee, initiate a Learning Spaces Subcommittee comprising members from all constituency groups on campus, in an effort to ensure that the process for the development of formal and informal learning spaces is effective and meets the needs of learners and instructors on campus.
- Once approved, implement the recommendations from the Learning Spaces Subcommittee.
 - ✓ 2011: The GFC FDC Sub-committee on Learning Spaces submitted its report and began GFC consultation on the report and its recommendations.
 - 2012: Complete the consultation process on the report and begin the implementation process on the report’s recommendations.
- Continue the practice of “design charettes,” an intensive, hands-on workshop that brings people from different disciplines and backgrounds together to explore design options for a particular area or site, in the development of new and the redesign of older formal and informal learning spaces.
- Develop learning spaces that maximize interaction (student to student, student to instructor, undergraduate to graduate student) and flexibility as learning needs evolve with time.
- Ensure the continued development of individual study space.

Access Strategy 7.2—Ensure the availability of quality space generally on campus.

- Continue to consult with students on new and repurposed student space (e.g., CCIS, ECHA, Physical Activity and Wellness (PAW) Centre).
- Transform existing library space to support new learning and group program study needs.
- Utilize space to minimize disruption and costs incurred on renewal and repurposing projects.
- Develop a capital plan for student housing that focuses on deferred maintenance (keeping older housing facilities online and affordable) and expansion to meet the needs of our students. See the Capital Plan chapter for details.

Access Goal 8—Enhance the digital environment and online presence of our institution.

Access Strategy 8.1—Ensure quality IT support for our teaching and learning environments

- Maintain evergreening funds for all instructional based IT (e.g., hardware, software, and classroom technologies).
- Audit teaching and learning spaces to determine level of IT modernization required.
- Develop and implement a suite of IT policies on campus related to use, management, and security.
 - 2012: The next policy material to be brought forward will be the university’s new Encryption Procedure, with a focus on mobile devices.
- Increase awareness of students and staff of IT security policies.
- Ensure all centrally controlled classrooms are equipped with IT infrastructure.
 - ✓ 2011: The process of upgrading IT infrastructure in all centrally-booked classrooms was

completed.

Access Strategy 8.2—Create a comprehensive, unified and integrated online experience for U of A students.

- Complete implementation of Moodle as the university's single centrally supported learning management system.
- Complete the adoption of the Google Apps Education Edition as the university's single uniform email and calendaring platform; integrate this with Moodle.
- Support interactive distance delivery of material through Elluminate.
- Enable access to all instructional IT services via single sign-on technology.

Access Strategy 8.3—Campus of the future: Mobility computing

- Invest in mobility computing infrastructure.
- Complete the process of upgrading the university's wireless infrastructure.
- Develop innovative mobile applications for a variety of mobile devices, building on the success of the uAlberta iPhone application that was released in summer 2010.
- Ensure the U of A's web presence is mobile friendly.

Access Strategy 8.4—Improve web presence overall.

- Ensure the uniformity of the look and feel of our web presence.
 - 2012: Continue to build on the success of our new website, launched in fall 2011, receiving and responding to feedback from the community with a goal of continual refinement of the web presence.
- Expand the U of A's social media presence (Facebook, Twitter, etc).

Access Strategy 8.5—Incorporate discipline-specific advanced technologies into learning and training.

- In the newly created Health Sciences Education and Research Commons (HSERC) in the Edmonton Clinic Health Academy, use simulated learning environments to provide team-based educational experiences to shape the health professional of the future.
- See Access Strategy 18.3.

Access Theme III: Student Experience and Engagement

Access Goal 9—Improve admissions and registration processes for all students.

Access Strategy 9.1—Prioritize and implement recommendations received from admissions and student awards process reviews. Specific recommendations include:

- Simplify admissions requirements for students.
- Streamline internal transfer admission practices.
- Use consistent terminology for admissions and registration across faculties.
- Review course load requirements for student award renewals.
 - ✓ 2011 and ongoing: These initiatives are being addressed by the Academic Policy and Process Review (APPR) Task Force.

Access Strategy 9.2—Develop and implement a strategic plan for recruitment.

- Ensure improvement in communication between Faculty-specific and central recruiting strategies and initiatives.
- Streamline international recruitment activities among University Alberta International (UAI), the Office of the Registrar, and faculty offices.
- See further strategies under Access Goal 1.

Resource Request:

- ❖ **\$750,000 base funding to support French-language program and student support services at Campus Saint-Jean.**

Access Goal 10—Support programs and initiatives to help increase retention and completion rates.

Access Strategy 10.1—Develop and support programs and initiatives for students at risk.

- Enhance early identification of students at academic risk and support these students early in their programs.
 - ✓ 2011: The Office of the Dean of Students hosted the first Take Back the Term event to provide information and support to students at academic risk at mid-term. One hundred and thirty students participated.
- Review and expand Fresh Start Programs to assist students in transition and improve academic success.
 - ✓ 2011: The new Alternate Routes to Student Success Task Force is undertaking this review.

Access Strategy 10.2—Continue to emphasize the importance of academic Student Services and the Writing Centres.

- Faculties are engaged in a significant number of initiatives related to services for students. These are in addition to the re-visioning of central student services mentioned in Access Goal 2.
 - ✓ 2011: examples of initiatives include:
 - ✓ The early intervention program for students at risk in the Faculty of ALES.
 - ✓ Review of Undergraduate Student Services in Arts to ensure ease of access and responsiveness.
 - ✓ Reallocation of resources to base fund the Writing Centre at Augustana.
 - ✓ Development of enhanced web-based supports and resources for students in the Faculty of Physical Education and Recreation.
 - ✓ Barrier and strategy identification in the School of Public Health to address the needs of a diverse student body.
 - ✓ Expansion of the newly developed Decima Robinson Support Centre for Mathematical and Statistical Sciences with particular focus on weekly review seminars.
 - ✓ Continuation of the Faculty of Science Student-At-Risk initiative, linking at-risk students with advising and support services.

Access Goal 11— Provide enhanced experiential learning opportunities.

Access Strategy 11.1—Increase the number of community service learning opportunities

- ✓ 2011: examples include:
 - ✓ Expansion of community service learning and other forms of experiential learning in the Faculty of Agriculture, Life and Environmental Sciences.
 - ✓ Community service learning project requirement in the Integrated Community Clerkship program in the Faculty of Medicine and Dentistry.
 - ✓ Continuation of the Physical Therapy Augustana program and launching of the satellite program in Calgary in September 2012.
 - ✓ New Science Citizenship course piloted in the Faculty of Science.

Access Strategy 11.2—Develop academic cohorts in residence.

- Continue the development of academic cohorts in residence (faculty-based groupings) with home faculty participation in programming.

Access Strategy 11.3—Increase outreach activity in communities.

- Increase the number of outreach activities in communities within Edmonton, Alberta, and further afield.
 - ✓ 2011 and ongoing: The Faculty of Physical Education and Recreation is bringing teaching and research activities to the attention of community partners by incorporating them into the day-to-day running of the new Saville Community Sport Centre.
- Develop opportunities for faculty and students to engage in outreach to Aboriginal communities.
 - ✓ 2011 and ongoing: The Faculty of Native Studies hosts the Wicihitowin Research Action Circle to act as a conduit between the urban Aboriginal community in Edmonton and relevant university expertise on Aboriginal issues.
- Encourage development of research opportunities in rural communities.
- Develop university programming intended to encourage university graduates to seek employment in rural communities, especially from professional programs.
 - ✓ 2011: In September, the Faculties of Augustana and Education launched the new Bachelor of Science/Bachelor of Education combined degrees program with a requirement that students complete at least one of their practicum opportunities in a rural school.

Access Strategy 11.4— Increase the number and breadth of practicum experiences across faculties.

- ✓ 2011: examples include:
 - ✓ Expansion of the Faculty of Arts Work Experience Project (piloted in 2010-11).
 - ✓ New international practicum placements in Library and Information Sciences, including sites in Australia, Finland and the United States.
 - ✓ Continued development of the MD program of Pre-Clerkship Networked Medical Education in rural communities, offering more 4-week experiences in more courses.
 - ✓ Inter-professional experiential rotations between Pharmacy students, Nursing students and MD students.
 - ✓ The School of Public Health has increased the number of practicum partner institutions to

more than 100.

- ✓ Practicum experience required in the newly approved BSc and BA in Planning.
- ✓ Increase placement capacity in Calgary and rural Alberta (Integrated Community Living, Primary Health Networks) for Rehabilitation Medicine.

Access Goal 12— Enhance extra- and co-curricular learning opportunities (i.e., supporting services, activities, and campus facilities that encourage and help facilitate student success).

Access Strategy 12.1—Provide social/community activities and events that contribute to social development and community engagement in order to enhance the quality of the student experience and assist in the development of engaged citizenship. Examples include:

- Student groups: more than 400 student groups bring current students together through shared interests, activities and causes
- Learning communities, both formal and informal, including those found in residences, Faculties, departments, and programs
- Community service learning opportunities
- Participation in institutional governance with opportunities ranging from academic program units to Board of Governors
- Student participation in volunteering abroad programs through Faculties, departments, programs, and student groups
- Further development of student volunteer opportunities through the Office of Sustainability

Access Strategy 12.2—Provide health and wellness activities that contribute significantly to student success. Examples include:

- Campus recreation, fitness, and athletics
- Health services, counselling and mental health services
- Support services for diverse communities of students, including those based on disabilities, diversity, and spirituality

Access Strategy 12.3—Provide career/life development resources to students. These resources play an important role in the effective transitioning of students out of the institution. Examples include:

- Career services, internships and work experience
- Mentorship between faculty and students
- Lifelong learning activities
- Active connections with the alumni community

Access Goal 13—Continue to create international opportunities for students

Access Strategy 13.1—Enhance collaboration between central and faculty units to inform, advise, and support faculties in providing increased international opportunities for students

- Develop faculty-led programs for education abroad.
 - ✓ 2011 and 2012: University of Alberta International (UAI) is implementing a new funding model for education abroad programming to foster faculty-led and individual student study abroad activities.
- Expand international internship opportunities including collaboration with current co-op and

internship programs.

- ✓ 2011: UAI's Summer Research Internship program hosted 70 students from partner universities in China and India.
- 2012: UAI's Research International program will be expanded to include students from Australia, New Zealand, Brazil, Germany, Korea, Mexico and USA.
- Develop academic programs where study abroad is an integrated requirement for degree. This could include models of joint or dual degrees.
 - ✓ 2011: A number of joint and dual degrees were initiated, including a partnership with Shantou University for students in the PhD in Medical Sciences program.
- Review and consider administrative issues related to transfer credit for study abroad courses.
 - ✓ 2011: The Academic Policies and Procedures Review Task Force has delegated this to a subcommittee reviewing many aspects of transfer credit.

Access Strategy 13.2—Increase international education opportunities and enhance global education learning.

- All faculties of the University of Alberta are engaged in the development of international experiential opportunities for students.
- ✓ 2011: Some new examples include:
 - ✓ Expansion of the Cortona program in Arts with addition of a spring semester and expanded course offerings in Cortona.
 - ✓ MOUs to facilitate student/faculty exchanges between Augustana Faculty and United International College in Zhuhai, China and Universidad de Oriente in Santiago, Cuba.
 - ✓ Off shore teacher practicum experiences in Macau, China for students of the Faculty of Education.
 - ✓ Law summer program at the University of Granada, Spain and the University of Woollongong, Australia.
 - ✓ Development of exchanges between the School of Native Studies and the University of Otago, New Zealand.
 - ✓ Expansion of international exchange program for Pharmacy students with Toho University, Japan, Al-Ahram Canadian University, Egypt, the University of Naples, Italy and the University of Grenoble, France. Possible study abroad programs for Earth and Atmospheric Sciences students with Ludwig Maximilian University (Munich).

Resource requests:

- ❖ **\$3.0 million base funding for international student scholarships**
- ❖ **\$800,000 base funding for international internship and study abroad student support.**

Access Goal 14—Provide foundational support structures for students in order to create a nurturing environment that allows for positive student experience and engagement

- See points under Strategy 2.1.

Access Goal 15—Create a safe and secure environment on U of A campuses that is supportive of a positive student experience

Access Strategy 15.1—Develop safety and security features on and off campus

- Continue development and maintenance of the university’s Integrated Emergency Master Plan, including the university’s Public Health Response and Crisis Communications Plans, to deal with any emergency and public health issues that may arise throughout the year.
- Collaborate with the City of Edmonton and AHS in the organization and holding of emergency preparedness tabletop exercises.
- Continue development of the emergency notification system on campus.
- Within the university’s enterprise risk management framework, ensure annual updating of institutional risks.
- Continue development of resource materials and web-based health and safety information relating to both curricular and non-curricular activities.
- Continue university communication strategy on implications of the new Off-Campus Activity and Travel Policy and procedures.

Access Theme IV: Innovative Programming

Access Goal 16—Continue development of additional innovative programming to meet the needs of learners and the community

Access Strategy 16.1—Continue to propose new programs that would be funded with existing resources through the reallocation of existing FLEs. These reallocations allow for the ministry to point to new programming in a priority area, the university to produce new programming in tight financial times, and most importantly, for students to access new, innovative and highly relevant programs.

- ✓ 2011: This model was recently used to ensure that the new Bachelor of Arts and Bachelor of Science in Planning programs proceeded after first-year direct entry admission to the Faculty of Education was restored, enabling targeted and immediate recruitment of excellent high school graduates to the Faculty of Education.

Access Strategy 16.2— Develop additional innovative programs using a cost-recovery model. Examples of new programs that have the potential to be funded with a cost recovery model include:

- New online offering of the existing Master of Library Sciences program (in response to market demand)
- New full cost-recovery Executive Master of Engineering program
- Free-standing credit certificate programs

Access Strategy 16.3—Develop innovative and varied programming opportunities and methods of delivery at the graduate level.

- ✓ 2011: Policies and Procedures on shared credentials were approved by the Board of Governors in fall 2010. Further evolution of our processes in these areas is now underway, as are university-wide conversations regarding implementation of the new policies.
- A variety of graduate offerings have been proposed by the academy, including:
 - Developing and implementing fast-track programs which allow students to move to a more advanced degree before completion of a lower level degree. Examples include moving from a master’s program to a PhD program before the master’s program is

completed.

- Developing and implementing new/revised course-based master's programs. A number of faculties have proposed new course-based programs (some of which may be cost recovery), particularly with international partners for international students.
- Developing and implementing blended delivery programs that allow for increased student flexibility. Specific examples include:
 - ✓ The Distance Master's of Education program with Northern Lights School District
 - ✓ New online offering of the existing Master of Library Sciences program

Access Strategy 16.4—Pursue innovative international training programs.

- Increase international graduate enrolment through international research consortia and partnerships, priority partner institutions, and sponsored student agreements.
- Develop shared credential programming with international institutions to attract international graduate students, leveraging our international profile and consortia.
 - ✓ 2011: Recent examples include:
 - ✓ Exchange agreement with Shantou University for PhD students in the Medical Sciences program.
 - ✓ Seoul National Dual Graduate Degree for PhD students in the Faculty of Education.

Access Strategy 16.5—Reallocate existing FLEs to graduate programs.

- We will continue to increase enrolment in graduate programs in by reallocating enrolment from undergraduate programs where appropriate.

[Chart formatting needed:]

Program Initiatives at the University of Alberta

Recently approved programs to be implemented

BA and BSc in Planning

PhD in the History of Art, Design and Visual Culture

Doctor of Pharmacy (PharmD)

University Certificate in Aboriginal Governance and Partnership

New Programs

New majors in watershed management and plant biotechnology (ALES)

Northern studies major at Yukon College (ALES, NS)

New specialization in urban ecology (ALES)

Business management major in existing BSc program with focus on fashion business management (ALES)

PhD in performance studies (AR) (With CAQC)

PhD in East Asian studies (AR)

PhD/MA/BA/BFA in interactive media (AR)

MA/PhD in Political Theory (AR)

MA/PhD in cultural studies (AR)

MA in women's studies (AR)

MA in science, technology and society (AR)

PhD in writing studies (AR)

MA in peace and governance (AR)

New Korean studies concentration (AR)
 MA in public economics (AR, BU, ALES)
 MA in medical humanities (AR, MD)
 BA (Economics)/BCom (AR, BU)
 BA/BSc in Gaming (AR, SC)
 Post-baccalaureate certificate in Translation
 Combined MBA/BSc in Pharmacy (BU, PH)
 New online offering of existing MLIS program (ED)
 New freestanding certificates in library and information studies (ED)
 Freestanding credit certificates (EX)
 BSc in ophthalmic sciences (MD)
 International Foundation Certificate/Diploma in Biomedical Science (MD)
 MSc in Laboratory Medicine and Pathology (MD)
 Joint degree in Aboriginal sport and recreation (NS, PER)
 Master of Coaching (PER)
 BSc in occupational sciences (RM)
 Specialized Doctor of Rehabilitation Medicine (RM)
 PhD program in Études canadiennes (CSJ)
 MEd with various specializations (CSJ)
 BA major in theatre studies (CSJ)
 BEd/BA combined degrees program (CSJ)
 College-level programming (CSJ) - Diploma in Business Administration (With AET)
 BSc in Computing Sciences with specialization in 3-D multimedia (SC)
 New major in computing sciences in BSc/BEd program (SC)
 New specialization in Science of the Global Environment (SC)
 Wildlife Biology specialization (SC, ALES)

Access Goal 17—Increase access to current high-demand programs.

Access Strategy 17.1—Reallocate existing FLEs to high-demand programs from programs that are redundant, no longer relevant, or in lower demand. Proposed examples include:

- Reallocation of FLEs from the Bachelor in Physical Education to the B.Sc. Kinesiology program.
- Planned increase in undergraduate Mining Engineering enrolment, balanced by planned reductions elsewhere.
- See also Access Strategy 22.2 for Campus Alberta access to high demand programs.

Access Strategy 17.2— Work with AET to restore graduate program FLEs lost in previous budget actions where reallocation is not viable because of high demand in undergraduate programs.

Resource request:

- ❖ **\$1.1 million in base funding for 43 FLES for expansion of the PhD in Engineering.**

Access Goal 18—Ensure appropriateness and relevancy through course and program reform.

Access Strategy 18.1—Implement more cornerstone courses.

- Create cross-discipline interest-based learning experiences for first- and second-year students to enhance establishment of class cohort-based learner communities.
- Continue enhancement of Engineering qualifying year (first year) structured timetable patterns

that lead to the formation of 20-25 student cohorts of approximately 30 students (affecting 600-750 students).

Access Strategy 18.2—Explore alternative models of program delivery including distance education and blended models. Specific examples from faculties include:

- Distance education nutrition courses for professional upgrading
- New online MLIS program delivered with no residency requirement
- New opportunities for simulation learning using the state-of-the-art facilities in the Edmonton Clinic Health Academic for students in the health-related faculties

Access Strategy 18.3—Increase collaborative, interdisciplinary program development.

- Develop theme-based (e.g., Sustainability, Northern Studies, International Studies) and skill-specific certificates that enable students to pursue multiple interests and interdisciplinary learning.
 - ✓ 2011: ALES and Augustana Campus have established the Alberta Centre for Sustainable Rural Communities (ACSRC) to foster collaboration in undergraduate teaching, research, and policy development led by a professor appointed jointly to the two Faculties.
 - ✓ 2011: School of Business implemented a new major/minor in natural resources, energy and environment in association with the Faculty of Arts.
 - 2012: Approval of the Certificate in Sustainability and the Certificate in Global Citizenship is expected in Winter 2012.
- Maximize opportunities provided by the Edmonton Clinic Health Academy (ECHA) for inter-professional and interdisciplinary study for students in the health sciences faculties and to promote scholarship in the health sciences for faculty across all campuses.
 - ✓ 2011: ECHA opened in September 2011. Its role is to lead the integration of health team education or inter-professional learning into professional curricula, an integrated collaborative learning model that is beginning to be required by the health professions regulatory bodies.
 - The goal is for all health science professional students at the U of A to have three or four health team learning experiences (considered a ‘pathway’) for a total of 3000-4000 student health team experiences a year. Both curriculum and operating resources will need to be procured to ensure the long-term sustainability of this new model of health care education.

Resource Request:

❖ \$250,000 base funding to support health-team pathways academic programming

- Develop interdisciplinary programs in the Faculty of Science, including watershed management and wildlife biology (with Faculty of Agricultural, Life and Environmental Sciences) and immunology and infectious diseases (with Faculty of Medicine and Dentistry).
- Review and revise the combined BSc/BEd offered by the Faculties of Science and Education to make available to students seeking this credential all major and minor combinations, such as computer science, that exist in the Faculty of Science’s B.Sc. General program.
- Develop a new MBA/BSc in Pharmacy combined degrees program to join other combined degrees program linking professional programs with the MBA for implementation in 2012.

Access Goal 19—Provide valuable laddering opportunities from high school to post-secondary study, undergraduate to graduate study, and post-secondary study to professional experience

Access Strategy 19.1—Foster institutional dialogue about the role of new certificate programs, both embedded and freestanding, in adding value to the degree experience and in providing valuable post-professional educational opportunities.

- Support the development of embedded certificate programs across disciplines that add value to existing degrees and allow students to tailor degree programs to meet learning goals (e.g., Sustainability, Global Citizenship, Northern Studies and International Studies).
 - ✓ 2011: a new embedded Certificate in Community Mental Health Theory and Practice has been approved for implementation at Augustana Campus in September 2012
 - See also Access Strategy 18.3
- Support the development of freestanding certificate programs that provide enhanced study for graduates of degree programs and valuable connections to professional communities.
 - ✓ 2011: The Certificate in Aboriginal Governance and Partnership is now approved in the Faculty of Native Studies.

Access Strategy 19.2—Develop college-level programs in French at Collège Saint-Jean to support the education needs of Alberta’s francophone community.

- Implement the first college-level programming at Collège Saint-Jean upon final approval by Advanced Education and Technology.
 - 2012: The first proposed program is a two-year bilingual diploma program in Business Administration.
 - Potential future diploma programs for Collège Saint-Jean include Licensed Practical Nurse, Tourism and Ecotourism, and Personal Care Aid.

Resources request:

- ❖ **\$1.75 million base funding to support new program and operating costs for Collège Saint-Jean.**

Access Strategy 19.3—Expand bridging programs

- Expand bridging program opportunities for students in the Faculties of ALES, Arts, Augustana, Native Studies and Science. The goal of the program is to assist students who are otherwise admissible to the university with achieving their English Language Proficiency. The program has already seen significant uptake with further growth anticipated in coming years. (See Access Strategy 1.1)
- Explore a number of other discipline-specific bridging opportunities within faculties, including the possibility of Collège Saint-Jean offering post-secondary preparatory offerings in French.

Access Goal 20—Continue to offer a range of lifelong learning opportunities through continuing and professional education programs.

Access Strategy 20.1—Continue to offer a full range of continuing and professional education.

- Continue to offer a variety of continuing education opportunities through our Faculty of Extension.
 - 2012 and ongoing:
 - Consider the development of freestanding certificates through the Faculty of Extension in

areas such as Qualitative Inquiry, Leadership in Professional Practice (with Engineering), Occupational Health and Safety (with the School of Public Health) and Policy and Social Innovation (with ALES and Augustana).

- Continue to offer continuing professional education opportunities in the Faculty of Medicine and Dentistry and the School of Business.
- Implement the new Doctor of Pharmacy option for returning pharmacists in the Faculty of Pharmacy and Pharmaceutical Sciences.
- Provide French-language training and immersion programs through Campus Saint-Jean and Collège Saint-Jean.

Access Strategy 20.2—Determine the level of non-credit activity on campus.

- Continue implementation of the new registration system for non-credit programs, compatible with the credit registration system, to capture non-credit enrolment in the Faculty of Extension in the first instance, with the opportunity to make this system campus-wide in the future.

Access Theme V: Connections and Collaborations

Access Goal 21—Increase interdisciplinary, collaborative program and initiative development in order to offer students innovative and relevant educational opportunities.

Access Strategy 21.1—Encourage interaction between faculties for the creation of programs and initiatives that transcend traditional disciplinary boundaries in order to provide exciting opportunities for students.

- Continue offering most of the courses in the first-year Engineering program in French at Campus Saint-Jean, coupled with the opportunity to complete third-year Engineering courses in French as a visiting student at one of several universities in Québec or France.
- See Access Strategy 18.3 for a few specific examples of interdisciplinary collaborative program development.
- A full list of program initiatives being considered at the U of A can be found under Access Goal 16.

Access Goal 22—Maximize program innovation at the Campus Alberta level in order to create exciting learning opportunities and program efficiencies.

Access Strategy 22.1—Work with Campus Alberta partners to determine program possibilities, develop and implement new programs.

- ✓ 2011 and ongoing Faculty-specific examples of Campus Alberta collaboration include:
 - ✓ Discussions between ALES, Olds College and Grant MacEwan University (GMU) for delivery of select undergraduate programs
 - ✓ Recent 2+2 arrangements between Augustana Campus and Red Deer College and Grande Prairie Regional College for students in Music
 - ✓ Maskwachees Cultural College 1+3 arrangement into Bachelor of Management at Augustana
 - ✓ Master's in Educational Leadership with Blue Quills, offered via blended models of delivery in September 2011
 - ✓ AETP cohort in collaboration with Northern Lakes College and Northlands School

- Division in 10 northern community sites
- ✓ Certificate-level collaboration between the Faculty of Extension and Campus Alberta institutions
- ✓ Preclinical networked medical education initiative in partnership with University of Calgary, Grand Prairie Regional College and local community agencies
- ✓ Shared Pharmacy faculty position with the University of Calgary Family Medicine
- ✓ Collège Saint-Jean Collaborations with NAIT and Bow Valley College
- ✓ MOU signed with Grand Prairie Regional College to offer a collaborative pilot program in Secondary Education

Access Strategy 22.2—Work with AET to address Campus Alberta enrolment pressures in high demand programs that emerged with past budget action.

- ✓ 2011: Faculty of Engineering first year partnerships with seven Campus Alberta institutions and transfer opportunities for students from these and other Campus Alberta partners are compromised by the current enrolment target that is 270 FLEs lower than previously planned. The usual transfer rate of approximately 400 students per year fell to 46 in 2011-12 as a result of the higher minimum grade averages required for admission because of continued high demand.

Access Goal 23—Maximize program innovation in collaboration with national partners in order to create exciting learning opportunities.

Access Strategy 23.1—Work with Canadian partners to determine program possibilities and then develop and implement new programs.

- Faculty-specific initiatives related to national partnerships include:
 - New Northern Studies major in the ENCS program at Yukon College
 - Formalization of pilot partnership in Faculty of Native Studies with Dechinta Bush University
 - Partnership with University of Saskatchewan on Doctor of Pharmacy course offerings
 - Collaborations with Collège Maisonneuve and Collège de Matane in Quebec for the Collège Saint-Jean initiative

Access Strategy 23.2—Create national partnerships to maximize national and international reach of the university.

- Continue to develop the CALDO partnership (a consortium of the universities of Alberta, Laval, Dalhousie and Ottawa) and its initiatives to better access international opportunities, particularly for graduate student recruitment, in countries where large sponsored student programs are run by national governments, foundations or corporations that do not normally work with individual institutions. The consortium will focus on a select number of partner countries, such as Chile, Brazil, possibly Vietnam, and Iraq.
 - ✓ 2011 and ongoing: Under the CALDO banner, the University of Alberta has entered into agreements with Brazil's National Council of Science and Technology (CNPq) and the Federal Agency for Support and Evaluation of Graduate Education (CAPES) to promote sponsored graduate student recruitment and undergraduate research internship opportunities.
 - 2012: The University of Alberta along with our CALDO partners is working on an

agreement with the three northern colleges to facilitate student mobility.

Access Goal 24—Leverage and extend our international research consortia, and use these as a platform for delivering innovative shared credential graduate programs with top-calibre partner institutions.

Access Strategy 24.1—Work with international partners to determine program possibilities; develop and implement new programs. Some developing partnerships include:

- Partnership in ALES with institutions in China for 2+2 programs
- Partnership between Arts and Aga Khan University in East Africa to build the first AKU Arts program
- Master's of Financial Management partnership with Xian Jiaotong University in China
- Dual graduate degree with Seoul National University in Education. This MOU was signed in July 2011
- Further development of the joint JD/JD program with University of Colorado to improve student and faculty participation
- PhD program in Medical Sciences with Shantou University, funded by Li Ka Shing in the Faculty of Medicine and Dentistry
- Campus Saint-Jean PhD program in Canadian Studies in collaboration with the Sorbonne in Paris
- Development of shared credential programs that build upon the research activities of the Helmholtz Alberta Initiative.

Part B: Research, Scholarship, and Creative Activity

Today, the U of A connects Alberta to the world and the world to Alberta, by attracting and retaining world-class talent, by elevating the province's national and global profile, and by building top-level international partnerships and transferring made-in-Alberta ideas and innovations to the global community and marketplace. With this growing international profile, the U of A is the only university in the province with the depth and breadth of research and teaching capacity, and reputation for excellence, to become one of Canada's top two universities and one of the top 20 public universities in the world.

Aligning with Alberta's Priorities

The U of A conducts sponsored research and joint projects with every one of the Government of Alberta's ministries, including those with mandates relating to children's services, aboriginal affairs, international relations, sustainable land management, community and northern development, infrastructure and transportation, parks and recreation, and mental health. In this way, the university continues to produce research, policy development, and evidence-based analysis of great social and economic benefit to Albertans. In addition, the U of A provides instrumental leadership and opportunities within Campus Alberta and the Alberta Innovates system, through the development of provincial, national and international research and teaching consortia, involving other academic institutions, industries, governments, foundations, and/or community organizations.

Currently, excellence in research at the U of A encompasses the following seven areas of critical human activity that are studied in interdisciplinary ways:

1. **Humanities and Fine Arts**
2. **Society and Culture**
3. **Science and Technology**
4. **Energy**
5. **Environment**
6. **Food and Bioresources**
7. **Health and Wellness**

The problems facing Alberta and its global neighbours are complex and can only be thoroughly examined, understood, and eventually solved through inter- and cross-disciplinary approaches. Through the following seven broadly-defined categories that encompass and mix defined disciplines, the U of A integrates and leverages comprehensive and complementary research and teaching endeavours, and works in alignment with provincial strategic priorities to the benefit of both students and faculty, and further afield to the well-being of Alberta society as a whole.

Humanities and Fine Arts: Humanities scholarship and creativity in the fine arts are essential to a flourishing, democratic, socially cohesive, and culturally vibrant Alberta. The U of A's investment in humanities and fine arts scholarship advances the strategic priorities of the *Spirit of Alberta*, which underscore the importance of cultural expression, insight, and experience for Alberta's citizens and for Alberta's place on the world stage.

The *Spirit of Alberta* vision rests on four core principles: 1) providing access for all Albertans to a wide range of cultural experiences and opportunities; 2) enhancing community capacity to support and promote cultural activity; 3) encouraging excellence in Alberta's cultural and professional organizations; and 4) fostering growth and sustainability of cultural industries. There is little question that the depth and breadth of U of A's humanities and fine arts excellence continues to be a key driver of the artistic and

cultural reputation of Edmonton and Alberta. The university has done this through its sustained commitment to attracting and retaining leaders in creative arts, particularly in printmaking, music performance, music theory, and design. Capacity in these areas is a key element of the university's success in broadening the disciplinary focus of its international research relationships, for example through collaborations in fine arts with Germany's Ludwig Maximilian University.

U of A exhibitions recently staged in New York City galleries will be available at Enterprise Square in the coming year, increasing Albertans' access to made-in-Alberta creative works that are traveling through top tier international venues. Following on the province's 2002 decision to develop and expand design studies, the U of A has built core competency in these areas, including interdisciplinary work that across fine arts, health sciences, and more recently, nanotechnologies.

The university continues partnerships with Edmonton and Alberta film producers and directors, creating high caliber television and film documentaries. Strategic directions in music research range from analyzing and composing music with advanced computing technologies to designing new systems for sound quality and improving vocal health of music teachers. This research is, in turn, creating opportunities to advance Alberta's sound recording industries, and informal partnerships with this sector are in place. According to a recent external review committee, the Timms Centre for the Arts is still ranked among the top five theatre teaching performance facilities in North America. The university has leveraged this distinction to establish the endowed Clifford E. Lee Playwright-in-Residence program (the first in Canada) and to create the Canadian Centre for Theatre Creation.

Other strategic directions in humanities and fine arts align with specific objectives of the province's cultural strategy and also with Advanced Education and Technology's vision for innovative collaborations among Campus Alberta institutions. A partnership between the U of A and the Banff Centre has developed a new residency program for national and international scholars engaged in advanced research on themes and topics in culture. The university also draws national activity in literature and literary studies into the province and into the community through The Canadian Literature Centre/Centre de littérature canadienne. This initiative serves as the western hub of the Canadian literary sector of translators, authors, publishers, collectors, and the reading public, and promotes research of Canadian literature, in both English and French. Teams of scholars in Aboriginal Literatures are closely engaged with First Nations, Métis, and other distinct communities, providing more opportunities for these cultures to share, express, and preserve their perspectives —another core objective of the *Spirit of Alberta*.

The university's broader strengths in linguistics, history and classics, philosophy, literary theory, cultural studies, and Ukrainian and East European history and culture, continue to grow in strength with the addition of recent Canada Research Chairs. The Kule Institute for Advanced Study is a newly established vehicle for aggregating and engaging interdisciplinary and comparative scholarship in humanities, social sciences, and fine arts, and for drawing international scholars to the U of A as a place for innovative thinking in these areas.

In both the public and academic sector, research on complex historical, economic, health, social, and cultural issues is increasingly dependent on advanced computing tools needed to access and synthesize extensive databases of digitized material. Over the past 12 years, the university has emerged as a national and international leader in Humanities Computing. This area continues to expand into the broad realms of digital social sciences with the development of advanced cyber-infrastructure for "big social science" on regional, national, and international levels. Through this interaction of its humanities and computing science activities, the U of A is well-placed for new initiatives in computer gaming and the digital economy. These activities continue to support local industries in computer gaming, and through new technologies, strengthen Albertans' ability to share and experience culture.

Society and Culture: In the *Spirit of Alberta's* Land Use Framework, there is a clear recognition that Albertan's well-being will continue to be both defined and measured by the presence of vibrant, healthy, well-governed, and prosperous communities.

Social science research activities at the U of A constitute some of the institution's most direct impact on Alberta issues. These activities include, for example, issues in health economics, natural resource conservation and allocation policies, the engagement of marginalized populations, mental health practice and policy, environmental protection legislation, and intellectual property frameworks. All of these matters align with several provincial mandates and concerns, and constitute the basis for valuable, informed advisory relationships between the U of A social science professoriate and the province.

Research and inter-institutional partnerships that we create in society sciences, law, business education, and community engagement are aligned with Alberta's International Strategy of creating "externships": competitive placements for talented Albertans in international organizations, foundations, multilateral institutions and the private sector. Work in family, contract, and tort law, and alternate dispute resolution provides core leadership in matters of interest to Albertans and practicing Alberta lawyers. Similarly, the university's research capacity in retail management, entrepreneurship and family enterprise, institutional dynamics of markets, behavioural accounting, and corporate development informs and advises private, municipal, and provincial sectors on matters of economic and business development.

The U of A's CAIP Chair in Innovation Policy and Technology Translation aligns with key priorities of the Ministry of Alberta Advanced Education and Technology and of Alberta Innovates—Technology Futures. It will ensure that the university continues to play a leading role in providing business and entrepreneurial skills training across the sciences, medicine, and engineering. These programs will also enable the university to recruit top international students, better facilitate mobility, and develop talent at the science-business interface to enhance commercialization, innovation and economic diversification goals.

The U of A trains Alberta's teachers within a research environment that has recognized excellence in curriculum and pedagogy, science education and literacy, multi-modal literacies, policy development, educational assessment and measurement, educational and mental health, the educational needs of multicultural and Aboriginal populations, and the appropriate integration of technology within scholarship and teaching. With this institutional capacity, we remain positioned to develop, assess, and contribute to new programs and frameworks across several ministries, including the Ministry of Education and Alberta Health and Wellness.

Research activities in Aboriginal and First Nations issues, especially in the realm of legal, social, cultural and educational scholarship, is aligned with the provincial mandate to strengthen relationships with the Aboriginal communities and people. The recently opened Rupertsland Centre for Métis Research is the culmination of a decade-long partnership between the U of A and the Métis Nation of Alberta, and will co-ordinate and sustain academic research activity with and for Métis communities.

The U of A's Northern Strategy mobilizes capacity around topics that span education, cultural development and art, national sovereignty, security, cryosphere sciences and climate change, and health. These activities are aligned with the ministries that advance the social, educational, and economic opportunities for Alberta's first nations' peoples and the development of Alberta's northern resources. The university is also leveraging its capacity in these areas to create international partnerships with other universities that have a strong investment in the culture and society of indigenous people, present and past. The university's research on first peoples on the western prairies, **Russia and Hokkaido, and early**

humans in Tanzania is aligned with institutional priorities to secure international funding and collaborations with top-tier partners, such as the University of Washington, the Russian Academy of Science, Oxford University, and the University of Tokyo.

The province has a strong commitment to ensuring that rural Alberta develops a culture of learning, innovation, and community vibrancy. Here, the U of A contributes significant research and training activities that focus especially on educational and health issues of both rural and urban settings. The Community University Partnership program and institutes, such as the City-Region Studies Centre, mobilize and develop research on the nature of towns, cities, and regions through collaborative projects with community partners. Work on the Francophonie, minority-language rights and legislation, as well as intercultural research, distinguishes the university nationally and supports the mandate of the province's Francophone Secretariat to recognize and preserve the province's francophone heritage.

In proposing its CAIP Chair in Food Security and Sovereignty, the U of A strategically chose to build on its capacity in society, culture, and resource economics, to build additional capacity in cross-sector and cross-disciplinary issues that will frame Alberta's food production sector in the coming decades. These range from how climate change is expected to alter the agricultural profile of Alberta and, consequently, its economic role in Canada and internationally, to the role of innovation and entrepreneurship in Alberta's agri-food sector, to the meaning of food security for different socio-economic groups.

Science and Technology: U of A research programs in natural and physical sciences, engineering, human and animal behavioral sciences, mathematics, and information sciences position the university to advance knowledge and contribute to Alberta's specific innovation challenges, as they exist today and as they may develop in the future.

U of A has an institutional commitment to lead and participate in international collaborations that advance the understanding of our universe, our planet's history, and its current challenges. One priority is the study of fundamental physical phenomena. Investments in thermodynamics, theoretical physics, cosmology, and plasma physics have placed the U of A in a leadership position in these research areas and have established innovative science education programs that enable secondary school students and teachers to participate in international particle physics experiments.

Another institutional priority is advancing knowledge about the evolution of the planet. With Alberta's unique geological history at its doorstep, U of A paleobiologists and geophysicists continue to make global headlines that redefine theories of evolution and geophysical change. These breakthroughs are supported by capacity in geochemistry, geochronology, cyrospheric sciences. Extensive research breadth and depth in sedimentary basins and resources support discoveries and innovations in seismic imagine and signal processing, gas and hydrocarbon chemistry, and petroleum hydrogeology and carbon sequestration. These research areas underpin advances in efficient energy production.

The university's work in climate change, advanced remote sensing, biodiversity assessment, and carbon cycling is undertaken in Canada's Arctic regions, Alberta's boreal forests and prairies, and throughout South American. These capacities align with the commitment to healthy ecosystems and environments as one of three key outcomes of Alberta's Land Use Vision.

With a decade of provincial investment in ICT and mathematics, the U of A has established internationally leading groups in areas of computing science, computer engineering, and mathematics, such as computational and machine intelligence, wireless network communication, theoretical mathematics, and mathematical biology. This base puts the university into position for expansion into new programs in the digital economy and digital innovations for improved health services.

With nearly \$400M invested in nanosciences and nanotechnologies, through the NINT partnership and successful federal infrastructure funding to U of A researchers, the university has powered the province's nanotechnology strategy over the past **ten years**. New research agendas are extending this capacity into strategic diversification areas for the province, (e.g., nano-enabled biomaterials; nano-based medical devices and implants). Nanoscience and nanotechnology programs are sustained by core disciplines, such as analytic, organic, and inorganic chemistry; condensed matter physics and low temperature quantum physics; metabolomics; microbial glycobiology, molecular genetics, and advanced materials science.

Basic discoveries that drive new approaches to energy and resource utilization are supported by cross-disciplinary research programs in climate change, condensed matter physics, environmental monitoring technologies, integrated landscape management, computational intelligence, chemical engineering, nanotechnologies, materials engineering, and resource geosciences. As the future global community grows less dependent on carbon-based energy sources, large-scale adoption of alternative energy sources, such as solar cells, will require advanced materials that will make these devices more efficient and less costly. U of A innovation in this area resides at the nanolevel, such as making discoveries in advanced materials, fabrication, nanosciences, and nanotechnologies for viable fuel cells. The large-scale adaptation of alternative energy sources will also require advances in how these alternative energies are distributed. This is supported by research programs for designing and modeling microgrid systems and high performance power electronic interfaces to effectively integrate energy generated by wind, solar, or other alternative sources.

Energy: The U of A's strategic initiatives in clean energy and clean environment are inextricably linked, and mirror the Government of Alberta's renewed focus on cross-ministry vision and collaboration to make Alberta the national leader in energy efficiency and sustainability. The university's advances here rely on a base of fundamental core disciplinary strengths across the natural and physical sciences, mathematics, engineering, bioresources, business, and economics.

A CAIP Chair in Enhanced Geothermal Systems will address how these systems can contribute to reducing the greenhouse gas emissions in the oils sands extraction process. There are regions in Alberta amenable to EGS clean energy production and this program will address a number of the significant barriers to establishing cost-competitive EGS power and electricity.

Building upon many advanced research facilities and interdisciplinary initiatives such as the Imperial Oil-Alberta Ingenuity Centre for Oil Sands Innovation, the Canadian Centre for Clean Coal/Carbon and Mineral Processing Technology, the School of Energy and the Environment, and the Helmholtz Alberta Initiative, a CAIP Chair in Interfacial Polymer Engineering for Oilsands Processing will address many of the crucial technical challenges in separating tailings and water, in order to eliminate tailings ponds before they form, thereby answering a key environmental challenge. The work of the proposed CAIP chair and the other advanced research centres aligns with priorities of the Ministry of Energy and Alberta Innovates—Energy and Environment Solutions relating to bitumen upgrading, new non-aqueous and advanced extraction technologies, clean carbon/coal, improved recovery, and reduced environmental impact. The U of A's innovation in these areas is accomplished via cross-disciplinary teams in chemical engineering and geophysics, molecular modeling, microbiology, and geo-environmental sciences.

The U of A continues to invest in geosciences and engineering to advance nearly every aspect of resource exploration, exploitation, remediation, management and monitoring. This includes research activities in oil and gas reservoirs, non-conventional exploration, ground and surface waters, and global geophysics. Extensive activity in geosciences and geotechnical engineering continues to address issues of CO₂ emissions, and now extends to include nanoscience and biological approaches to CO₂ reduction and

sequestration. The university's successful M.Sc. program in Integrated Petroleum Engineering, designed for professional upgrading within the energy sector, builds on the research excellence and draws participants from multi-national corporations.

Clean energy and clean environment initiatives also intersect with institutional depth in environmental and energy economics, regulatory analysis, and public policy. The university has cross-disciplinary strength in legal, cultural, economic, and policy studies of the complex challenges that emerge at the intersection of energy, environmental sciences, ecology, land management, First Nations' rights, and conservation sciences. This activity aligns with the 2012 initiatives of the Ministry of International, Intergovernmental, and Aboriginal Relations.

Well-established research initiatives in energy policy have expanded to include economic analysis of clean energy technologies and the adoption of clean environment policies and regulations. These include electricity restructuring policies and proposals; environmental and land-use goals; employing new carbon sequestration technologies as part of enhanced oil recovery processes; environmental regulation on the development of clean pricing for oil, coal, and other fossil fuels; and market-based approaches to meet land use and environmental quality objectives. The depth of expertise is a critical resource for the Government of Alberta as it works towards its objectives of implementing the Regulatory Enhancement Task Force recommendations, and the development of future coal-fired recommendations with the federal government.

Environment: The U of A's depth and breadth in energy research and innovation is paralleled by similar institutional reputation and capacity in environmental research, including biology and ecology; water, forestry, and agricultural management; climate change; and biodiversity monitoring. The university's strategy to link capacity in energy innovation with ecology and environmental sciences defines its most prominent initiatives with our international partners, and many of our joint projects with several government ministries, such as Sustainable Resource Development and Alberta Tourism and Recreation.

The university provides significant cross-disciplinary research capacity in scientific, economic, policy and cultural issues associated with biodiversity and conservation practices, and the remediation of land impacted by natural resource extraction and processing. A CAIP Chair in Integrated Watershed Management will address key watershed issues that face multiple provincial stakeholders, such as the Alberta Water Council and regional Watershed Planning and Advisory Councils, as they aim to develop regional integrated watershed management plans that can mitigate the cumulative effects of resource development, urban growth, and changing climates. This research capacity is aligned with several provincial objectives, such as those contained in the *Water for Life* strategy.

We have long-standing collaborative research partnerships with many of Alberta's ministries, and with federal and international collaborators, on the development of earth observation technologies for environmental monitoring, mining and exploration applications, agriculture, and land use applications. The Alberta Biodiversity Monitoring Institute is an example of a key institutional collaboration with industry and the province to provide sound, scientific, longitudinal data on the impact of human activity on Alberta's flora and fauna. This institute, along with the university's extensive satellite and wireless sensing network research, provide a world-class foundation for progress on the Ministry of Environment and Water's mandate to develop open source information systems of science-based environmental indicators.

The university's foundation in natural and physical sciences, mathematics, social sciences, humanities, and health sciences provides the necessary capacity to understand the influences of natural forces (e.g. climate change) and human forces (e.g. food production, energy production) on water and air quality,

water demand and supply. These are investigated not only at the global level but also within the Alberta context in collaboration with provincial partners, particularly in the forestry and agricultural sectors.

The U of A continues to build in areas of science and technologies (e.g., nanoscience, electromagnetic methods, and remote satellite and ground based sensor systems) that address contaminant detection, pipeline integrity, climate change, and the impact of relevant carbon dioxide on the growth and development of boreal forests. Through the NINT partnership, the university aligns expertise in nanotoxicology and oil sands wastewater treatment to develop advanced technologies for environmental monitoring and reduced environmental degradation. This broad base of research activities aligns with the Alberta Innovates - Energy and Environment's priority for “environmental technologies in enhanced ecology” that support better water, land, and air management, as well as sustained biodiversity.

The U of A's has broad and cross-disciplinary research programs on the social and cultural responses to ecological change, particularly as they impact rural communities, northern communities, First Nations communities, and the agricultural sector. This includes work on the ecological and economic impact of land management practices and policies, as well as the development of the science, social, and cultural frameworks for sustainable agriculture. This research capacity is aligned with the core objectives of the Ministry of Agriculture and Rural Development and of the Ministry of Intergovernmental, International and Aboriginal Relations.

Food and Bioresources: Food production and the bio-economy — bioproducts, biomaterials, and bioenergy — is a strategic priority for Alberta, Canada, and the world. The U of A has established capacity in a range of disciplines that underpin social, cultural, scientific, and technological innovation in food and the bio-economy, aligned with Alberta Innovates – BioSolutions' priorities of value chain sustainability; advancing the bioeconomy; quality food for health; industry challenges and emerging opportunities; and prion and prion-like protein misfolding diseases. U of A research capacity in these areas will also support the new mandates of the Ministries of Agricultural and Rural Development, and Sustainable Resource Development: to expand market access, attract investment, and make Alberta a preferred global supplier of agriculture and forestry products.

The U of A's crop, plant, and forestry research is focused on optimizing production and quality of traditional and new crop species, and on identifying novel traits through genomics, breeding, crop protection systems, and agricultural practices. The university also has substantial activity in acute areas of provincial concern, such as water and nutrient use efficiency and controlling mountain pine beetle infestation, through programs ranging from plant genetics to remote sensing technologies.

The university plays a key role in positioning Alberta as a leader in innovative plant genetics and bio-based technologies for water and nutrient efficiency, sustainable livestock and crop practices, and forestry stewardship and management. Areas of institutional strength include fundamental research on protein folding and prion diseases of wildlife; livestock genomics; plant and animal sciences; plant stress, crop and forest systems; the development of disease and insect resistant plants; and the use of plants for innovative production of pharmaceuticals.

The U of A's initiatives in biofuels, bioenergy, and biomass conversion take an integrated approach to optimizing the value of Alberta's ample biological resources. This work shifts the focus from biorefining for biofuels production, which has dominated commercial developments in the bioeconomy, to creating a series of biomass processing stages that extracts the highest possible value from each component of the feedstock. Research strengths in systems biology and biochemistry, proteomics, chemical and environmental engineering for petroleum processing, and nanoscience are being adapted and applied to the processing of renewable resources, to convert feedstocks to higher value products, and to develop

novel enzymes for the degradation of biomass and new catalysts for the conversion of biomass into greener platform chemicals. Facilities such as Agri-Food Discovery Place continue to link research capacity in food safety, agri-industrial technologies, and functional foods with provincial, national, and international industrial partners in the bio-economy.

A CAIP Chair in Food and Nutrition will extend existing capacities in these areas and contribute to the key outcomes outlined in “Making the Food-Health Connection: An Alberta Framework for Innovation.” The resulting research program will build on a critical mass of medical science, food sciences, public health, physical education, and clinical researchers whose addresses health is across the lifespan through appropriate food and nutrition. This is a core priority of Alberta Health Services and of Alberta Innovates-Bio Solutions and Health Solutions, through the *Tomorrow Project*.

Health and Wellness: The U of A has invested strategically in research and teaching to establish an integrated approach to human health and wellness that addresses all aspects of the determinants of human health, including clinical factors and pre-dispositions, social-political and economic environments, and an individual’s characteristics and behaviours. This approach is fully aligned with the strategic philosophy of holistic wellness in Alberta’s Health Research and Innovation Strategy. The university’s chronic disease and cancer research – a continuing priority of Alberta’s health and wellness planning framework — has also developed to reflect this holistic perspective, spanning molecular and genetic techniques for islet engineering, to physical determinants of individual health, to social determinants of population health. Through visionary capital investments such as the Health Research Innovation Facility, the Health Sciences Education and Research Commons, the Katz Group Health & Pharmacy Research Building, the Li Ka Shing Centre for Health Research Innovation, and the Edmonton Clinic, the university has aligned research, training, and learning across its professional health sciences faculties and has strengthened its translational health sciences.

A primary means for U of A contributions to the health and wellness of Albertans is through partnerships with Alberta Health Services and Alberta Health and Wellness. The university is pursuing a strategic opportunity to leverage its capacity in public and population health to create an Alberta registry for population health and health service interventions. The U of A has established the Population Health Outcomes Research and Clinical Effectiveness Institute as an Alberta approach to health outcome research. This initiative complements work in population and public health, and will integrate research results more broadly into health care decision-making and clinical practice. The university has also begun to work with Alberta Health and Wellness to construct an environmental health surveillance system, to benchmark publicly-funded addiction and mental health services, and is starting a community-driven project and with the First Nations and Métis communities in Fort McKay to enhance their capacity to conduct community health assessments. With Alberta Health Services, the U of A is also working to develop pan-Alberta research networks to link with Strategic Clinical Networks in key service delivery areas. This will advance Alberta’s objective for an Alberta-wide research network for health and public health services to support Alberta Health Services’ strategic clinical networks.

The U of A also supports Alberta’s health strategy through its research programs in health promotion and treatment for vulnerable populations, including areas such as quality of life, mobility, and pain management for an aging population; physical rehabilitation through neural rehabilitation technologies; ethnicity and health; and Aboriginal health. This work is aligned with Alberta Innovates – Health Solutions priorities of child and maternal health, health issues for aging populations, mental health and addictions, and the health issues of marginalized groups, and with Alberta’s Health Research Innovation Strategy focus on injury protection and rehabilitation.

Research programs in behavioural and cognitive neuroscience, metabolomics, microbial glycobiology,

and molecular genetics is essential to drive and integrate fundamental and translational work in health and human wellness. Here, the university's key contributions range from clinically-driven work on advanced materials to support the creation of non-invasive biomedical sensors, to linking virology, infectious diseases, glycomics, and drug development research with the development of health diagnostics, to on predicting spread of biological invasions (epidemics) by better mathematical modeling. The institution also has a strategic focus on molecular and biochemical research of environmental risks to human and animal health, with near-term investment in the molecular diagnostics for bacteria, viruses, prions, and parasites occurring in the environment, as well as monitoring the spread of disease.

The U of A's biomedical engineering strategy has targeted regenerative medicine, diagnostic devices, wound care, implant devices and biomaterials, and rehabilitation engineering. The university's specific priorities here are craniofacial reconstruction and neural prostheses and neural implants. Other rehabilitation science capacity is directed at the needs of the aging population, pediatric and developmental disorders, and musculoskeletal disorders, aligning with Alberta's Health Research strategy and *Alberta Innovates – Health Solutions* focus on wellness at every age, and on injury control and treatment.

A CAIP Chair in the Structural Biology of Protein Mis-folding and Prion Diseases will advance the fundamental science needed to develop diagnostic tests, vaccines, and drug design. This importance of this to Alberta is clear: four prion diseases threaten the province, all of which are incurable and at least two have an ability to infect humans. Building on the university's fundamental molecular imaging sciences, this CAIP chair aligns with a broad set of provincial priorities, ranging from Alberta's health strategy focus on environmental health, to the continued viability of its livestock industry, to the health benefits for Albertans through advances in the treatment of dementia.

Research, Scholarship and Creativity Activity Themes and Goals

In Part A of the Academic chapter, plans for access and programming are outlined under the broad themes of quality, learning environment, student experience and engagement, innovative programming, and connections and collaborations. Matching and complementing them are plans to advance U of A research, scholarship, and creative activity through strategies aimed at strengthening and expanding the three essential ingredients of any great global institution: research excellence, state-of-the-art research operations, talented people, and international partnership and influence.

These three essential ingredients are the focus of the three themes that structure the next section of the Academic Overview:

- I. Competitive and Well-Managed Research Resources:** Shared research resources and services form the platform for all research, innovation, discovery, applied research, teaching, and community engagement at the U of A for the benefit of, and often in partnership with, the Government of Alberta, the City of Edmonton, Campus Alberta partners, the private sector, and international partners.
- II. Diversified Excellence and Impact:** With investment in outstanding faculty, undergraduate and graduate students, post-doctoral fellows, the U of A creates an environment for excellence across disciplines with the capacity to have widespread local, national, and international impact.
- III. Internationalization:** International partnerships and activities are the threads that weave together the recruitment of talented people, the development of innovative and internationally-mobile programs, and production of globally relevant and leading research.

Research Theme I: Competitive and Well-Managed Research Resources

The shared research resources and services essential to the U of A's overall research enterprise are extensive, highly specialized, and diverse. Examples of these shared resources and services include specialized animal care facilities, greenhouse facilities and remote research stations, advanced research computing facilities, aquatic experimental facilities, statistical and technology consulting, the Edmonton Health Academy knowledge integration space, machine shops that produce customized materials for scientific research, specialized analytic facilities such as mass spectrometers and NMRs, and specialized imaging facilities.

These research resources and services support discovery, translational, and pre-commercialization activities that the institution undertakes internally and with private sector partners. The existence of these shared research resources, their management, and their competitiveness are particularly important to industrial partners, especially who are assessing the innovation potential of partnerships with the province, via collaborations with the Campus Alberta Research Institutions. These shared research resources directly and indirectly constitute Alberta Innovates' research and development capabilities.

Such shared research resources and services must be operated by specially trained professional staff, and require continual improvements in infrastructure, equipment upgrades, security, and regulatory support. The Presidents and the Vice-Presidents (Research) of the CARIs share a common position on the need for a funding model that enables thoughtful planning and implementation of shared research resources with each institution addressing its highest priority research and innovation priorities.

Challenges and Opportunities

- The operating cost associated with the complexity of running and sustaining a research enterprise of this magnitude presents the University of Alberta, and the other CARIs, with financial responsibilities and pressures that are distinct within the Campus Alberta system.
- The U of A's base operating grant is tied primarily to student enrolment and the cost elements of our direct educational mission for undergraduates and graduate students, but this metric does not align with our additional mandate to sustain and evolve core research infrastructure, shared resources, and the personnel required to operate it.
- On-going facility operating costs for high intensity, shared research resources fall outside and exceed the funding available through the indirect costs of research.
- Periodic grant competitions and one-off provincial and federal grants are designed to fund limited-term, highly targeted projects, rather than to sustain long-term management and thoughtfully planned renewal of shared research resources services. They are not set up to reward proposals that present needs for large-scale shared resources that support unrelated research and innovation agendas. This leads to duplication and inefficiencies.
- There are opportunities to establish signature institutional-level research infrastructure that builds on our strengths in partnership with federal agencies.
- Operationally shared research resources and services within an institution can promote new kinds of collaborations, and allow for more intelligent management, reduction of duplication, and more efficient use of specialized staff.

- Centralized shared research resources and services can be marketed more effectively to industry and to international partners, and can support a more effective use of operating resources and specialized staff. Institutions must present capacity at the institutional level, not at the group or individual level.
- CFI has been a great resource for acquiring equipment and facilities, but provides only limited support for operating; funding from other grants is not sufficient to support more than a single investigator's needs, leaving little to sustain the infrastructure.

Research Goal 1: Ensure that the U of A's shared research resources and services have the management and resources required to support the objectives of internal and external communities.

Research Theme II: Diversified Excellence and Impact

Generating positive social outcomes for engaged citizens relies on innovations and contributions from the social sciences, humanities, and fine arts as much as it relies on advances in science, technology, engineering, and medicine. The U of A's commitment to the diversified and balanced research portfolio across disciplines described in the above seven research categories underscores our ability to make holistic contributions to Alberta's overall well-being and prosperity in ways that not only include economic factors but also extend beyond them to social and cultural contributions that define a full and vibrant society.

The university aims to attract and retain the best minds from many disciplines to the institution. To do so, the U of A must foster an environment where diversified excellence is supported and awarded. Talent people will gravitate to universities where they can have the best opportunity of having the biggest impact in their disciplines. Their assessment of that opportunity rests on many factors: competitive shared research resources and services which grant proposals can leverage; incentives and mechanisms which attract and support post-doctoral fellows and graduate students across disciplines; and an exceptional institutional and provincial environment of support in securing federal and international dollars. With its institutional commitment to being among the top publicly-funded institutions in the world, the U of A is committed to developing a reputation for advancing knowledge and impact across the broad spectrum of human concerns, by supporting emerging and existing excellence in all disciplines.

When we succeed at attracting and retaining diversified talent, the U of A is able to play a leadership role on the global stage and position Alberta as a place for cultural, social, scientific, and technological insights and advancements.

Challenges and Opportunities

- A base operating budget model that is tightly linked to enrollment does not allow the U of A, as the largest CARI for the Alberta Innovates System, needs to do: bring in a larger cohort of postdoctoral fellows (PDFs)—across all disciplines – into Alberta. The institution's current and target PDF cohort size has not, to date, figured into the calculation of the base operating grant.
- There are increasing expectations under federal funding programs for in-kind or cash support for large grants for social sciences and humanities research, which rarely enjoy the private sector opportunities for partnership that other disciplines do.
- The province has a vision for advancing culture and the arts and addressing community needs;

however, no provincial funding mechanism that can leverage university capacity in these areas currently exists.

- A number of countries, such as India, Brazil, and China, are establishing intensive training programs that will send their graduate students and post-doctoral fellows abroad. Top national and international institutions will be competing to attract these individuals in disciplines across the academy.
- Endowment revenue is a critical way for the university to accelerate excellence, especially in areas that do not have private sector investments or targeted funding support, such as teaching innovation, social sciences, humanities, and fine arts. Decreases in endowment revenue caused by low interest rates has measurably curtailed internal investment in these areas, presenting both retention and attraction challenges.
- The research administration environment supports excellence and promotes achievement by being responsive to the needs and demands of successfully-funded faculty. However, the funding overseen by research administration staff has grown by 27.4% in the last four years, while that same research administration staff complement has decreased by 5.5%. With increased reporting and auditing requirements, and increased complexity of private sector and international partnerships, the university is not able to meet internal and external demands for timely research administration processes. This undermines both institutional and individual excellence and impact.

Research Goal 2: Ensure that talented researchers, postdoctoral fellows, graduate students, and visiting faculty have the resources and opportunities they need to have impact in their fields.

Research Goal 3: Raise the U of A's international profile as a top publicly-funded institution with expertise within and across disciplines, and support faculty and initiatives that have the capacity to lead and influence global change.

Research Goal 4: Ensure effective and responsive research administration, serving both internal and external stakeholders.

Research Goal 5: Foster and facilitate a broad set of knowledge and technology transfer mechanisms that engage our communities, the industrial sector, and the public sector.

Research Theme III: Internationalization

Research, scholarship, creative activity, and innovation are some of the few areas where national boundaries have little influence. Researchers, scholars, and innovators are in the most mobile of all professions in today's world; they interact with colleagues and establish strong partnerships around the globe. As a result, many opportunities exist for different institutions, nations and regions that share common global challenges and opportunities to form partnerships of mutual strategic interest.

In the past few years, the U of A has achieved some extremely high-profile successes that have leveraged Alberta resources and provincial connections with the investment of some top-tier foreign collaborators. The university has done this through a strategy of focused effort on a limited number of targeted countries, all of which have excellent international research reputations and have expertise in areas that are aligned with university priorities and provincial priorities. These targets—Germany, India, U.S., China, Mexico, and most recently, Brazil and France—are countries with which the provincial

government has nurtured relationships and signed specific memoranda of understanding. The priority areas — energy, environment, food and bio-industries, water, and health — represent the critical intersection of university strength, provincial interests, and global challenges and opportunities for innovation impact.

This strategy has proven to be successful and the partnerships and collaborations have gained momentum in two ways:

1. The number of partners seeking collaborations with the University of Alberta in key areas is increasing
2. The same partners are exploring are seeking to expand existing collaboration agreements into new areas of cooperation.

In addition to creating international research consortia, we have established partnerships with other jurisdictions and institutions that can advance our objectives in undergraduate and graduate recruitment, global citizenship, faculty and student research mobility, innovative graduate programs, and increased federal funding. This includes conducting research, fieldwork, and mentoring on post-secondary program development in Tanzania, Ghana, Korea, and the sub-Saharan. The university has targeted relationships with particular institutions, such as the Aga Khan University and Seoul National University, to frame other efforts that are important to us as an institution. The U of A also puts a strong emphasis on leading and participating in international research programs, namely those that, by definition, require the talent and resources beyond what any one nation can provide, spanning from sub-atomic physics to space sciences to archaeology.

There are several reasons why such international partnerships are pivotal to the U of A's role within the Alberta Innovation system and our ability to foster holistic social and cultural innovation for Alberta more generally. International partnerships allow us to share infrastructure investments and funding programs associated with other national research programs. They make it possible to share human talent and develop innovative graduate and undergraduate training programs and mobility programs that make Alberta students globally competitive, especially in their career pursuits. International partnerships are also a key recruitment mechanism for foreign graduate students and postdoctoral fellows, many of whom may stay within the province.

Aligning with provincial research and international activities, the U of A aims to leverage the activity and international collaborations already taking place at the university and within the province, to advance collective strategic goals.

Challenges and Opportunities

- The U of A's foreign partners provide funds for collaboration but their expectation is that the university will match their contributions to enable our researchers and students to participate. Currently, there is no funding structure available to meet this expectation.
- The U of A runs the risk of losing out when it is unable to leverage appropriate funds in a timely manner to take advantage of these opportunities. This loss is three-fold: 1) it loses invaluable partnerships for the university and the province; 2) competitors exploit those same partnerships to their advantage and the institution's and province's detriment; and 3) significant foreign investment that could be brought to Alberta through the University of Alberta is lost.
- The university's existing collaborators in China, Germany, and most recently, Brazil and

France, are actively seeking to expand the scope of, and investment in, the existing research consortia into areas that aligned with university capacity and provincial strategic direction.

- The U of A is collaborating with University of Toronto and University of British Columbia to capture \$12M of federal funding to establish the Canada-India Centre for Research Excellence; U of A will lead the nano aspect of this initiative, if successful.
- The Canada-Brazil Framework Agreement for Cooperation on Science, Technology and Innovation entered into force in both countries in 2010 and has opened up opportunities for the U of A and Alberta. The Agreement promotes greater collaboration in research and development in areas of mutual interest, including ocean technology, life sciences, information and communications technology, clean energy, green technologies, and nanotechnology.
- Brazil's goal of sending 100,000 trainees (undergraduate and graduate students as well as PDFs) overseas in the next 4 years represents significant opportunity for Alberta's CARIs. The benefit of attracting these individuals will pay long-term benefits in strengthening Alberta's innovation relationships with Brazil.

Research Goal 6: Selectively expand existing consortia to include new topics or new partners in ways that align with institutional objectives.

Research Goal 7: Establish a broad base of meaningful international engagements for global citizenship, education, and outreach.

Research Measures: How we track our progress

Research Theme I: Competitive and Intelligently Managed Research Resources

- Consolidation of separate resources into common services
- Re-instatement of specialized support staff
- Upgraded shared research resources through deployment of special funding

Research Theme II: Diversified Excellence and Impact

- Assessment of our institution relative to our selected peer group in
 - total research funding, and Tri-Council funding
 - prestigious national and international awards for faculty, postdoctoral fellows, and graduate students
 - numbers of fully or partially funded international graduate students and postdoctoral fellows
- Diversity of funding organizations, government bodies, and other groups that sponsor or engage with our research and creative activities
- Number of large-scale national and international research, scholarship, and creative activity initiatives U of A researchers serve as leaders or collaborators
- Success on institutional review visits by Tri-Council, CFI, and other agencies
- Contract research dollars from Alberta companies, Alberta government, and NGOs
- Research initiatives with city and rural stakeholders
- Number of entrepreneurs and researchers advised by TEC Edmonton
- Number of companies created by TEC Edmonton
- Direct contribution to the regional economy from TEC Edmonton activities
- Number of graduate student internships occurring in Alberta

- Number of formal undergraduate interns and co-op students undertaken in Alberta

Research Theme III: Internationalization

- Level of international research investment from foreign national agencies and funding bodies
- Increase in foreign postdoctoral fellows and graduate students
- Increase of formal and active mobility programs for researchers and students

Research Resource Requests:

Research Theme I: Competitive and Well-Managed Research Resources	Base Funding (\$ 000)
Planning, establishing, and sustaining shared research resources and services that crucial for institutional priorities and regional innovation objectives	10.00
Shared research computing resources	2.00
TOTAL	12.00

Research Theme II: Diversified Excellence and Impact	Base Funding (\$ 000)
Reinstatement of the Access to the Future fund, to increase the institution’s success in securing philanthropic funding that supports broad-based excellence and impact	TBD
Post-doctoral stipend support	1.80
Post-doctoral operating support to increase numbers of international post-doctoral fellows through newly emerging foreign training programs	10.78
TEC Edmonton	1.80
Undergraduate research internship support	1.00
TOTAL excluding TBD amounts	15.38
	Multi-year funding (\$ 000)
Canada Excellence Research Chairs Program: half (\$10M) in first 2 years to rapidly enhance the Chair program and to ensure its success	20.00 over 6 years
Continued support of existing Alberta Innovates Centres	60.00 over 5 years
Matching funds for CFI awards through the Leaders’ Opportunity Fund	8.70 over next 3 years
Earmarked potential matching funds for federally adjudicated competitions such as Tri Council or Genome Canada (operating and/or equipment expenses)	10.00 per year
Matching funds for CFI NIF/LEF competition	25.00 for 2013

Research Theme III: Internationalization	Multi-year funding (\$ 000)
Funds available to facilitate global multi-partner initiatives with select countries and top-tier research institutions.	55.00 over 5 years
Matching funds for trainee mobility and exchange agreements	3.00 over 5 years
Funds for all of Alberta’s CARIs to offer modest top-up grants to Brazil’s Science without Borders program to attract a total of 340 post-doctoral fellows and 680 graduate students to province	6.00 over 4 years

Research, Scholarship, and Creative Activity Strategies (in detail)

Research Theme I: Competitive and Well-Managed Research Resources

Research Goal 1: Ensure that the U of A's shared research resources and services have the management and resources required to support the objectives of internal and external communities.

Research Strategy 1.1—Identify key core research facilities that serve large numbers of internal or external stakeholders.

Research Strategy 1.2—Demonstrate to external stakeholders that exceptionally funded shared research resources and services enhance the ability to leverage funding and to attract higher calibre faculty, researchers, and international partners to Alberta. Seek operating and sustainability funding for shared research resources that provide support for regional innovation activities and strategies, in ways that will reduce the one-off requests for funding that Alberta Innovates Corporations constantly receive.

Research Strategy 1.3—Institute a transparent policy for the use of limited CFI infrastructure operating funds, including a means for winding down infrastructure.

Research Strategy 1.4—Demonstrate to the internal community the merits of centralized shared research resources and services, and develop management and funding structures for these resources that meet needs across the institution.

Research Strategy 1.5—Foster sustainability by establishing a framework that encourages, when appropriate, the use and expansion of existing infrastructure and human resources, rather than the duplication of separate facilities and operational needs.

Research Strategy 1.6—Position the U of A as the western leader in defining and executing federal strategies to address Canada's next national investment in high performance computing, data archiving, storage, and management, and e-science.

Resource Requests

- ❖ **\$10 M base budget for planning, establishing, and sustaining shared research resources and services that crucial for institutional priorities and regional innovation objectives and \$2 million base budget for shared research computing resources**

Research Theme II: Diversified Excellence and Impact

Implementation of 2011 CIP: Highlights

- ✓ With industry and government partners, established a nationally and internationally unique facility with a focus on research, training, and the production of a wide range of key medical isotopes without the need for nuclear reactors.
- ✓ Completed a Prion Level III Facility.
- ✓ Opened the Centennial Centre for Interdisciplinary Science.
- ✓ Worked with other Campus Alberta research institutions and AET to define and implement the CAIP chair program, with an expanded reach into social sciences.
- ✓ Launched an undergraduate research initiative with 2 year seed funding from internal resources.
- ✓ Supported impact of society and culture scholarship through the Festival of Ideas (City of

Edmonton), the launch of *18 Bridges Magazine* (humanities and arts writing), and the sponsorship of a CBC documentary, “CodeBreakers”, that highlighted UAlberta anthropology and archaeology research.

- ✓ Launched two pilot programs to enhance application success in CIHR and SSHRC, which had significant impact on our success rate.
- ✓ Established interfaculty and interdisciplinary graduate studentships.
- ✓ Engaged the Trudeau Foundation about doctoral scholarships, and established Fulbright Visiting Chairs Program in the School of Business and in the Faculty of Arts.
- ✓ Established new agreements or MOUs, as appropriate, with NINT, IBM Center for Advanced Studies, and the TRILabs university-industry consortium.
- ✓ Continued to formulate a pan-Alberta approach to several areas, including neuroscience, '-omics', and humanities and the arts funding,
- ✓ Collaborated on the restructuring of the former Alberta Cancer Research Institute into the Cancer Research Institute of Alberta to ensure that our cancer researchers continue to receive salaries and operating support from Alberta Health Services.
- ✓ Led the harmonization of clinical trial operations in Alberta among U of A, U of C and Cancer Care.
- ✓ Achieved a stellar assessment on our Tri-Council Monitoring and Audit visit.
- ✓ Managed the retention of some health sciences researchers through the use of AHFMR transition funding.
- ✓ Received seven additional Canada Research Chairs, along with nine renewals and two advancements, for a total of 94 chairs (second in Canada) worth \$17.1 M.
- ✓ Had six individuals admitted as Fellows of the Royal Society of Canada.
- ✓ Established endowed chairs in < source of list?>
- ✓ 10% increase in Postdoctoral fellows in 2011-2012
- ✓ % increase in non-Alberta graduate students over the past N years.

Research Goal 2: Ensure that talented researchers, postdoctoral fellows, graduate students, and visiting faculty have the resources and opportunities they need to have impact in their fields

Research Strategy 2.1—Address the issue of shared research operations and services to retain and attract researchers and post-doctoral fellows.

Research Strategy 2.2—Continue to allocate CRC and CFI opportunities and support across disciplines.

Research Strategy 2.3—Restructure our Henry Marshall Tory Chairs and Killam Memorial Chairs to work in a more flexible manner for the recruitment of exceptional individuals.

Research Strategy 2.4—Develop and resource internal mechanisms that lead to increased success within national and international funding competitions, especially on large cross-disciplinary team grants.

Research Strategy 2.5—Continue to redefine our graduate student recruitment strategies and partnership programs to ensure that we can offer timely, competitive offers to top graduate students.

Research Strategy 2.6—Obtain the resources required to take advantage of funding programs in Europe, China, and South America that will bring partially or fully funded graduate students and PDFs to U of A.

Research Strategy 2.7 — Work closely with advancement activities to secure philanthropic and private sector endowment funds as additional resources for all areas of our academy.

Research Goal 3: Raise the U of A’s international profile as a top publicly-funded institution with expertise within and across disciplines, and support faculty and initiatives that have the capacity to lead and influence global change.

Research Strategy 3.1—Create a cross-institutional water initiative to mobilize the 90+ water researchers to address complex issues in water that emerge at the intersection of policy, legislation, and institutions; human health; environmental health; and food and energy production

Research Strategy 3.2—Continue to participate in national and international initiatives in areas such as fundamental physics, archaeology, palaeontology, and digital humanities and social sciences.

Research Strategy 3.3—Continue to support undergraduate research initiative and its links to our local community as a way to mobilize our expertise.

Research Strategy 3.4—Foster and support faculty and institution-wide activities that rise the U of A’s profile as a global leader, with the expertise to define social, scientific, cultural and technological issues, policies and initiatives, nationally and internationally.

Research Goal 4: Ensure effective and responsive research administration, serving both internal and external stakeholders.

Research Strategy 4.1—Implement, manage, and develop state-of-the-art financial and administrative research systems, and invest in and reward top staff in these areas.

Research Strategy 4.2—Show internal and external leadership on institutional research ethics policies and procedures.

Research Strategy 4.3—Increase staffing in research administration staff to ensure that we meet reporting requirements and that we operate efficiently in our dealings with private and public sector partners.

Research Goal 5: Foster and facilitate a broad set of knowledge and technology transfer mechanisms that engage our communities, the industrial sector, and the public sector.

Research Strategy 5.1—Develop a certificate program in Entrepreneurial Leadership.

Research Strategy 5.2—Continue to evolve TEC Edmonton’s role as the regional technology transfer and commercialization vehicle.

Research Strategy 5.3—Continue to work with the provincial government and venture capital firms to identify the critical features of an effective innovation environment.

Research Strategy 5.4—Create better mechanisms to connect U of A expertise with potential external collaborators.

Research Strategy 5.5—Continue to develop and offer a range of programs to help create the next generation of entrepreneurs, such as Executives in Residence, seminars on essential issues such as intellectual property and company development, and sessions such as Entrepreneurship 101 for Post Docs, graduate students, and faculty.

Research Strategy 5.6—Increase the direct interaction between TEC Edmonton and research teams to

identify potentially interesting technologies and ways of bundling them for commercialization.

Research Strategy 5.7—Continue our collaboration with industry and government partners through affiliated institutes that transfer or mobilize our capacity, such as Institute of Health Economics, the Alberta Biodiversity Monitoring Institute, and TRILabs.

Research Strategy 5.8—Develop South Campus and build space for private companies to develop their presence adjacent to the research institutes at the U of A and further cross-pollinate ideas and provide market pull for researchers as well as participate in the funding of research.

Resource Requests

- ❖ **Reinstatement of the *Access to the Future* fund, to increase the institution's success in securing philanthropic funding that supports broad-based excellence and impact**
- ❖ **\$20 million over a 6 year period to ensure the success of our Canada Excellence Research Chairs program, with the first \$10 million being provided in the first two years to rapidly enhance the Chair program**
- ❖ **\$60 million over 5 year period for continued support of existing Alberta Innovates Centres**
- ❖ **\$10 million/yr earmarked as potentially match in matching to federally adjudicated competitions Tri Council and Genome Canada programs (operating and/or equipment expenses)**
- ❖ **2013: \$25M to match CFI NIF/LEF competition**
- ❖ **Post-doctoral stipend support: 40 postdocs @ \$45,000k = \$1.8M per year**
- ❖ **Post-doctoral operating support: 550 PDFs at \$19,600 each per year = \$10,780,000 base funding, so that the U of A can increasing numbers of international post-doctoral fellows through newly emerging foreign training programs (see internationalization goal below)**
- ❖ **TEC Edmonton - \$1.8 million base**
- ❖ **Undergraduate research internship support: 200 internships @ \$5000 = \$1M per year**

Research Theme III: Internationalization

Implementation of 2011 CIP: Highlights

- ✓ Expanded the Helmholtz Alberta Initiative in the area of virology. HA has allocated EURO 400,000 to facilitate collaboration with us in this area.
- ✓ Initiated discussions with HA in the area of earth observation sciences and neuroscience.
- ✓ Received \$2.5M over five years from the Chinese government to develop collaborative relationships between Chinese research institutes and universities and the U of A.
- ✓ Exploring Chinese proposal for a China-Alberta Virology Institute.
- ✓ Increased formal relationships with France, opening doors for joint proposal with two European partners in the future.
- ✓ Working with University of Toronto and UBC to capitalize on emerging Canada-India investment programs.
- ✓ Leading five World University Network research projects (attracting \$210,000 in funding) and participating in another 15, in year two of the U of A's participation in the WUN. These strong initial results, coupled with President Samarasekera's role as the new Chair of the WUN Partnership Board, indicates that the connections and research fostered through WUN will continue to grow and extend U of A's global leadership.

Research Goal 6: Selectively expand existing consortia to include new topics or new partners in

ways that align with institutional objectives.

Research Strategy 6.1—Align existing relevant partnerships into four immediate areas of institution focus: water, energy and environment, food, and infectious diseases, with interdisciplinary elements to all of them.

Research Strategy 6.2—Leverage our existing relationships with Brazil as a potential partner in all or some of these areas.

Research Strategy 6.3—Increase attention on expanding partnerships in social sciences, humanities, and creative arts with nations that have strong cultural and fine arts investments (e.g., Germany and France).

Research Strategy 6.4—Move our existing international relationships to the next level of engagement and investment, involving joint projects, exchanges, or graduate programs. These include, but are not limited to:

- Several top German universities, including Ludwig Maximilian University and Technical University of Munich
- Tata Consultancy Services (India)
- Aga Khan Development Network (worldwide)
- Indian Institute of Technology-Bombay (India)
- Zhejiang University (China)
- Tec de Monterrey (Mexico)
- National Commission of Science and Technology (Mexico)
- German Research Foundation
- Brazilian Federal Agency for the Support and Evaluation of Graduate Education (CAPES)¹
- Not-for-profit research institutions, such as the Houston Advanced Research Center
- China Scholarship Council

Research Goal 7: Establish a broad base of meaningful international engagements for global citizenship, education, and outreach.

Research Strategy 7.1—Encourage and support faculties' research and global citizenship activities with internal support, and by aiding their efforts to attract international development funds (e.g., CIDA, IDRC).

Research Strategy 7.2—Continue to use the China Institute and expertise in East Asian studies to anchor discussions in China relating to scholarship, creative activities, science, and programmatic initiatives.

Research Strategy 7.3—Continue to use our membership in the Worldwide Universities Network (WUN) to develop new research partnerships with other institutions in this network.

Research Strategy 7.4—In partnership with the Vice President (Academic) and University of Alberta International, leverage existing consortia agreements to develop innovative undergraduate and graduate student learning opportunities and mobility programs.

Research Strategy 7.5—Secure additional international research funding through partnerships with agencies and institutions in countries such as China, Brazil, India, and the U.S., and leverage that funding to support these new innovative research consortia.

¹ The Coordination of Improvement of Higher Education Personnel plays a fundamental role in the expansion and consolidation of post-graduate studies (master's and doctorate) in all states of the Federation of Brazil.

Resource Requests

- ❖ **\$ 55M over five years, to fill the gap that currently exists for a flexible and agile mechanism for rapid and timely deployment of funds that facilitate global multi-partner initiatives with select countries and top-tier research institutions**
- ❖ **\$3M over five years, to match trainee mobility and exchange agreements**
- ❖ **\$6M over 4 years for all of Alberta's CARIs, to coincide with Brazil's *Science without Borders* program and offer modest top up grants to attract a total 340 post doctoral fellows and 680 graduate students into the province**

Research Capacity Envelope Needs

The following section identifies initiatives and strategic directions, grouped by thematic area, which may entail near-term funding requests to provincial, federal, and international level competitions. This is not an inclusive list and does not allow for emerging opportunities.

This section also identifies research operation and space pressures that impinge on effective or efficient advancement in areas of institutional or provincial priority. Full and detailed discussion of capital infrastructure and building requirements, in the context of long term capital planning, are provided in the Capital Plan chapter.

Humanities and Fine Arts

- Advance and leverage initiatives in culture, literature, philosophy, history and classics, fine arts and performing arts.
- Work with the City of Edmonton on the Edmonton Pipelines Project to create a digital interactive map of the city of Edmonton.
- Develop cross disciplinary research programs in vocal acoustics, among engineering, music, and IRCAM (Institut de recherche et coordination acoustique/musique), a world-leading acoustics institute in Paris.
- Build partnerships among theatre artists, health educators and social scientists to develop theatre as mechanism to promote community health promotion and development.
- Align humanities and computing science capacity to develop innovative programs in computer gaming.

Core Facility Pressures:

- Art design studios
- Music performance facilities
- Repurposing of the Tory building

Society and Culture

- Build partnerships that leverage expertise in indigenous education and educational policy.
- Re-align capacity in Middle Eastern Culture and Society, Indian Policy and Cultural studies, and European Studies.
- Extend research capacity in food security/ sovereignty (CAIP).
- Extend research capacity on innovation policy and technology translation (CAIP).
- Expand interdisciplinary links between legal studies and native studies.
- Establish research program on the health of francophone in minority communities.
- Integrate business research and develop technology commercialization research on processes of

- nanotechnology entrepreneurship and the structure of successful innovation regimes.
- Explore a multi-disciplinary research initiative in Canadian mountain studies and pursue collaborations with Alberta and U.S. northwest regional partners.

Core Facility Pressures:

- Alberta School of Business Building
- Integrated research design and support operations

Science and Technology

- Advance and leverage knowledge in natural and physical sciences, engineering, human and animal behavioral sciences, mathematics, and information sciences.
- Align cross-disciplinary expertise for advanced research in the digital economy, computer gaming, digital health and wellness innovations, and humanities computing.
- Expand and align science, biomedical, and clinical capacity in interfacial biomechanics.
- Establish facilities for new research and technology development for clinically driven medical devices.
- Work towards establishing a National Institute for the Cryosphere, in collaboration with Natural Resources Canada.
- Develop metagenomics as applied to the oil sands and tailings ponds remediation process.
- Expand metabolomics and proteomics strategies and programs in partnership with NINT programs.
- Leverage NINT's new strategic directions and mandates to help coordinate a provincial nano strategy and to embrace a broader cross section of university activities.
- Expand work in "green chemistry" to enable future technologies for cleaner and safer chemicals and pharmaceutical production.
- Build further capacity in watershed management (CAIP).
- Upgrade facilities for nanosynthesis and nanoscale characterization and modeling.
- Establish coordinated and upgraded metabolomics facilities for health, agriculture, and clinical support.

Core Facility Pressures:

- Biogeochemical analytic facilities and low-level mercury analytic facilities, for water research for government, industry, and other university clients;
- Aquatic and water research experimentation facilities;
- Research materials production shops (e.g., instrumentation, special glass, electronic devices);
- Augustana and Campus St Jean Science buildings

Energy

- Continue investment and growth in oil sands research (i.e., upgrading, non-aqueous extraction, water and tailings management, energy intensity, process measurement, monitoring, control and improvement, clean coal/carbon and mineral processing, and the development of conventional and unconventional oil and gas resources.)
- Extend capacity in enhanced geothermal system research (CAIP).
- Extend capacity in interfacial polymer engineering research (CAIP).
- Establish research facilities in electromagnetic measurements in support of electrical engineering and systems research.
- Expand capacity in Geochemistry of hydrocarbon (traditional and unconventional resources) and mineral deposits (diamonds, precious metals, iron).

- Upgrade the oil sands and interfacial engineering research facility.
- Upgrade the oil sands tailings research facility.
- Create facilities for geological reservoir characterization and CO2 storage assessment.

Core facility pressures:

- Repurposing of Chemical and Materials Engineering Building

Environment

- Expand programs in surveillance and modeling of the spread of prion related diseases and impact of human behavior on wildlife health, disease and toxin spread, animal-to-animal or animal infected environments.
- Extend research activities in biogeochemistry for whole ecosystem functioning and carbon dynamics.
- Extend research activities using art remote tracking research facilities to support wildlife monitoring and management, and studies of disease (e.g., chronic wasting disease) and pollutant spread.
- Work to establish a research station at Miquelon Lake in collaboration with the Province and the Beaver Hills initiative, to support research in sustainable lands for tourism and recreation.
- Support expanding initiatives at the intersection of water, agriculture, rangeland and pasture management, biodiversity, and integrated land management.

Core Facility Pressures

- Upgrade and operating of greenhouses for plant experimentation

Food and Bioresources

- Extend research capacity in food security/ sovereignty (CAIP chair).
- Extend research capacity in nutrition and health (CAIP chair).
- Accelerate synthetic biology advances for bioconversion, plant genetics, nutrition, and other areas, through a 'biofoundary' framework.
- Expand sustainable agriculture and water resources research programs.
- Expand and retain research capacity in epigenetics, human nutrition, bioresources, and soil sciences.
- Support bio-based sciences, plant genetics and technologies for advances in nutrient efficiency and water usage.

Core Facility Pressures

- Facility and operation resources to sustain nutraceuticals collections
- Operating expenses for large animal care facilities

Health and Wellness

- Establish an interdisciplinary rehabilitation neurosciences and engineering facility.
- Leveraging university capacity in health analytics and health services assessment, develop a sustainably resourced approach that will address the significant challenges associated with access to external administrative health data and secure storage.
- Sustain and expand leadership in developing Pan-Alberta population health and health service research, especially in the areas health trends, health care access, rural health, and the detection, prevention, and management of chronic disease.
- Establish a cross-faculty initiative in personalized medicine and diagnostics, to integrate metabolomics, bioinformatics, and clinical sciences for translational research on disease

mechanisms and treatment.

- Update and expand multi-team facilities for metabolomics and proteomics research.
- Expand metagenomics and metabolomics for viral discovery related to chronic diseases, infectious diseases, and antiviral therapies.
- Expand research capacity to develop, assess, and apply new imaging technologies to characterize the causes and progression of neurological and psychiatric disorders, cardiovascular diseases, and cancer.
- Sustain NANUC as Alberta and Canada's open access facility for NMR technologies available for small company research in disease diagnosis and nanomaterials sciences.
- Establish research capacity in military and veterans' rehabilitation medicine.
- Expand research capacity in primary care, bioinformatics, epigenetics, cardiovascular sciences, tissue engineering/regenerative medicine, mental health and addictions, diabetes, and health outcomes.
- Launch a best practices implementation initiative for the management of pressure ulcers, bladder management, and pain.
- Leverage interdisciplinary and integrated health professional training capacity to evaluate models for inter-professional health care.
- Further develop use of innovative technologies to improve health outcomes in the clinic and in communities.
- Expand programs in regenerative medicine and tissue engineering, epigenetics, and health outcomes.

Core Research Infrastructure Pressures

- Resources to outfit Edmonton Health Academy - Phase II.
- On-going operating costs for compliant and humane animal care facilities.
- Clinically-annotated biobanks to facilitate translational and clinical research;
- Integrated technical and human access to provincial administrative and health data holdings
- Radiopharmaceutical facility at South Campus
- GMP facility for human islets transplantation
- Additional biosafety facilities
- Repurposing and upgrading of Clinical Sciences Building, the Medical Sciences Building, and Heritage Medical Research building Repurposing of Biological Sciences and Chemistry West

Capital Plan

Over the past ten years, the University of Alberta has undergone tremendous growth. Total student enrolment has increased 20% in fulfillment of access goals of both the province and the university. Graduate student enrolment has nearly doubled. During the same period, we have seen a concomitant increase in our research productivity and rise in our international profile and reputation. The university has been able to manage and capitalize on this growth because of significant and continued capital funding and planning that has enabled both the construction of new learning and discovery spaces and the advancement of much needed deferred maintenance. In the competitive world of post-secondary education, it is important for the U of A to provide high-quality learning experiences and infrastructure that attracts, retains, and engages outstanding faculty and students.

With the recent completion of large-scale, new capital projects, the university now has the opportunity to sustainably maintain, and where appropriate, repurpose aging assets and infrastructure. As areas/buildings are vacated with programs relocating to newly constructed buildings, smart, forward-thinking planning requires that we look beyond simple renewal and explore repurposing opportunities necessary to meet the needs of today's learners and the university's continued growth in research-intensive activities. The ultimate goal: buildings that can be renewed in a cost-effective manner—that work and make sense now and in the future.

For example, with the completion of Centennial Centre for Interdisciplinary Science (CCIS), several units within the Faculty of Science have been relocated, resulting in backfill projects in a number of buildings, such as the Henry Marshall Tory Building, the Biological Sciences Building, Chemistry West and the Civil/Electrical Building. In addition, the completion of Edmonton Clinic Health Academy (ECHA), and fit-outs of the Li Ka Shing Centre for Health Research Innovation and the Katz Group Centre for Pharmacy and Health Research, have set in motion much needed repurposing and renewal within the Dentistry Pharmacy Building, Medical Sciences Building (MSB), and Clinical Sciences Building (CSB). All of this will benefit several faculties. By coupling renewal and backfill projects, the U of A is able to provide a sustainable, best-value model in creating projects that look towards our future operational and academic needs at a reduced capital cost.

The following Capital Plan endeavours to take a balanced approach in identifying the need for capital funding in support of identified planning, engineering, and/or construction activities. As we look forward, the following five strategic priority areas guide our capital planning efforts:

- Ensure that we continue to maintain the condition and functionality of the university's physical assets, which play a critical role in our ability to attract, support, and retain the best students, faculty and staff.
- Couple backfill requirements with renewal projects to provide a sustainable, best-value model of capital projects that meets the pedagogical needs for tomorrow's learners and researchers at a reduced capital cost.
- Increase focus on planning and pre-design services that provide a clear tie between campus development and its delivery to meet both the immediate and long-term strategic vision of the institution. Create an inventory of shovel-ready projects at the time of economic recovery, and aid in the development of project delivery models that provide maximum value for money and the flexibility to respond to various funding opportunities.
- Continue responding to pressures for additional student residences, as well as faculty and staff housing. Research indicates that the quality of these facilities and the academic program contained within correlate with academic performance and the attraction and retention of

students, faculty, and staff. The university maintains its vision of providing student housing for at least 25 percent of full time enrolment thereby improving accessibility – especially for rural and underrepresented Albertan students.

- Strategically plan and construct critical new facilities, respecting the varied needs of the university's five campuses as they each serve unique and separate constituencies within Alberta.

Aligning with Alberta's Priorities

This Capital Plan forms the basis of the institution's request for capital funding from the Government of Alberta—the U of A's primary funding partner. It outlines both short-term priority projects which address current space, program, and renewal needs in light of expected differential growth, and long-term forecasted needs anticipated over the next ten years. Through the Capital Plan, the university continues to align with government priorities and goals as identified through the Ministries of Advanced Education and Technology and Infrastructure, and seeks opportunities to leverage capital planning priorities with public, private, and institutional partners. Flexibility and consultation between university and provincial officials is critical as the Ministry of Infrastructure further develops and implements such directives as sustainability through LEED® certification, prudent management of capital grant expenditure in capital project implementation, and identification of deferred maintenance.

As we move forward through the institution's next century, the U of A's vitality and vibrancy can only be maintained through well-supported, well-planned, and strategic repurposing and renewal of its facilities. Currently, the university's facility inventory totals 1.65 million square meters, and while we realize that there are limited dollars for new capital, we continue to plan and partner to accommodate strategic and critical expansion needs across our five campuses. Examples of current partnered initiatives being considered include the Twin/Triplex Arena project (South Campus), Student Residences/Housing, and Phase 1 District Energy Plant (South Campus).

Given current marketplace and best-value construction models, envelope funding for planning and preliminary engineering of critical projects puts the U of A and government in the position to quickly enter the construction market as funds become available. This planning process begins with updating and refining elements of the Long Range Development Plan (LRDP)—specifically land use—to ensure that the university can continue to plan and develop its campuses to meet the short- and long-term needs of the institution. This envelope funding allows the university to better refine project scope and budget, and in turn, be in a stronger position to identify the most appropriate implementation strategy, including public-private (P3) options. The South Campus master planning is just one example where pre-design efforts have focused on the types of utility infrastructure needed to support sustainable practices of today and facilitate future innovation. The U of A was able to capitalize on the Knowledge Infrastructure Program (KIP) because of this kind of shared long term vision for the future which allowed plans to be quickly formalized in response to the aggressive timeframes of the program.

While past capital funding has provided new and renewed formal learning and research spaces, enrolment increases, and student demand continue to strain existing academic support space like fitness facilities, formal and informal collaboration/social space, libraries, collections and storage, housing, and daycares. These facilities are critical to the attraction and retention of students, faculty, and staff and provide an environment that is conducive to achieving a successful academic experience. Student housing, for instance, is a key driver in affecting successful learner outcomes and developing strong alumni relations with the institution. The university will continue to work with government and explore various development models to minimize initial capital investment while still providing housing options that are attractive and suited to our students. New student housing projects are particularly attractive investments because they do not require continuing operating grants while supporting the mission and mandate of the

university.

In response to the measures and goals outlined in the Academic Overview, and in light of continued growth, program enhancements, changes in program delivery methods, and additional academic support space, a number of strategic new and expansion projects across the five campuses of the university are in process and will be needed in future. While all U of A campuses work together to serve in the Campus Alberta Framework, each serve distinct and separate constituencies within Alberta, putting the university in a unique position within the Campus Alberta Model. Consideration should be given to the university to properly highlight the needs of each of our campuses without them being diluted by the greater need of one campus over the other.

The capital priorities outlined at the end of this chapter advance the goals of the institution and provide a rational context for addressing the greatest needs. Outside of identifying needs and capital requests to government, the Capital Plan provides a mechanism for the university to target and leverage partnered funding. The U of A remains committed to seeking partnership opportunities, which leverage provincial funding and maintain the momentum of the university's initiatives in support of its vision and of government's priorities for post-secondary education.

Highlights of 2011-12

Initiatives in 2011-12

- **10-Year Strategic Preservation Plan for Maintenance and Functional Renewal:** The U of A and government continue to use better data, reporting, and collection tools (RECAPP) for methods to assess priorities and understand the scope of condition and functional problems, and identify potential funds for remediation. Prioritization of the application of available funding is required to strategically address those facilities in poor condition and requiring functional improvement to meet the needs of increased and changing programming.
- **Campus Planning:** While the university remains committed to the fundamental tenants of the LRDP, it is imperative that we continue toward the next level of consultation and planning (Sector Plans). These discussions remain focused on land use but do provide more detail as to pathways, community connections, sustainability, and campus/urban planning principles; thus further refining the development and open space zones of our various campuses. As the respective consultation around these plans concludes, the university may be required to update its land use plans within the LRDP to reflect the final outcome of these meetings.
- **Ecological Learning Centre:** The Ecological Learning Centre is a new project for the Devonian Botanic Garden, which would address several current needs: renewal of existing infrastructure that has reached the end of its serviceable life; improvement in the ability of the Garden to operate year round; growth of outreach programs and providing support for additional research activities. The business case has been internally approved and funding is now being sought from lotteries, donations, and grants. This project also provides a link to the new gift of an Islamic Garden and infrastructure improvements required to accommodate these projects and adapt the site to be more sustainable from a water management perspective. This project is highlighted in Table III – Highest New and Expansion Priorities.
- **Energy Management Program:** Given the success of the current program, the university has created a second generation of the Energy Management Program. As in previous years, it is proposed that this next generation of the program be financed through borrowing and is paid back through the resulting energy savings.
- **Enterprise Square:** U of A continues to work with the City of Edmonton, TEC Edmonton, and other private partners to determine opportunities that would provide continued utilization,

program synergies, and operational support.

- **Innovation Centre for Engineering:** Even with the renewal and repurposing of the existing CME building, there is a continued and pressing need to develop additional program space for the Faculty of Engineering. Through an aggressive fundraising campaign and additional faculty resources, the university is proceeding to build the shell and core of the new infill project. Once fit out, the infill project will provide a contiguous home for the administrative office of the faculty, as well as necessary research and collaborative space for the faculty's graduate students. The fit-out of this project is highlighted in Table III – Highest New and Expansion Priorities.
- **Knowledge Infrastructure Program (KIP):** In partnership with the Province, the University was able to leverage approved project funding and receive federal KIP funding of \$62 million. This program and all associated project was completed on budget and by the October 2011 deadline. Project readiness, an ability to enhance and expand research capacity, and the accommodation of additional students were all contributing factors towards the selection of projects put forward for funding under this program. In addition to renewal of a various areas of our research facilities, this program also saw the substantial fit out of the Li Ka Shing Centre for Health Research Innovation and the Katz Group Centre for Pharmacy and Health Research, and provided critical links between various faculties.
- **Physical Activity and Wellness (PAW) Centre:** In response to the growing demand for additional recreation and fitness space on campus and space required for growing research within the Faculty of Physical Education and Recreation (Steadward Centre), the university has partnered with the Students' Union and the Graduate Students' Association in the programming, planning, and schematic design of the PAW Centre. A student referendum was passed in 2010 allowing the councils of each student group to support the collection of a universal fee to support student borrowing requirements (up to \$30 million) for the facility. The university has also received an additional \$9.5 million in grants and private donations which are matched by various institutional dollars. This project is highlighted in Table III – Highest New and Expansion Priorities.
- **Sustainability:** This initiative builds on the many sustainability practices and programs already in existence by bringing them together and adding to them through a more formal approach and focus. The ultimate goal of the Office of Sustainability is to demonstrate leadership and instil sustainability as a core value at the University of Alberta. The Office of Sustainability continues to provide the conduit and overarching co-ordination of all the institution's sustainability activities such as design and operations, teaching and research, and engagement and outreach.

Government of Alberta Funding in 2011-2012:

- **Dentistry Pharmacy Repurposing:** The Province provided \$3.2 million to advance the planning and preliminary engineering for the repurposing of the Dentistry Pharmacy building. This funding has allowed the university to complete additional investigations to properly prepare the business case and subsequent budget as required to advance a top institutional priority project. The project is currently at the design development stage base shell and core.
- **Devonian Botanical Gardens Base Infrastructure:** The province has provided \$13 million dollars for much needed infrastructure improvements to address access, parking, and water issues facing the garden. This funding also played a key role in progressing the concept planning and design of the Islamic Garden.
- **Infrastructure Maintenance Program:** Current levels of regular Infrastructure Maintenance Program (IMP) grants, together with the recent one-time special project funding, has allowed the

university to make inroads into the deferred maintenance backlog. IMP funding at current levels is critical for the university to continue making progress in resolving the institution's significant deferred maintenance liability.

- Preservation Projects: Projects funded and undertaken in recent years have resulted in the following reductions in the Facility Condition Index (FCI) of some facilities. Refer to Figure 6.1 for a listing of current preservation projects and their associate reduction in FCI.
- **Agricultural, Life and Environmental Sciences Greenhouse reduction from FCI of 56 in 2002**

2011-2012 Partnerships with Communities, Post-Secondary Institutions, and Private Organizations

- Camrose Performing Arts Centre: The university continues to work with the City of Camrose and Camrose County on the development of a performing arts complex at Augustana. This facility will serve a large number of local and surrounding area groups. The university has entered into a Memorandum of Understanding with the City of Camrose and Camrose County. The university and the City of Camrose are finalizing the various needed construction and operating agreements, with an anticipated construction start date of July 2012. This project also accommodates for, through future expansion plans, opportunities to develop and construct needed space to further support Augustana's Fine Arts program.
- Canada Foundation for Innovation (CFI) Contributions: Over the last ten years, the university has received approximately \$186 million from CFI for major infrastructure purchases including equipment, renovation and new construction. This funding has directly leveraged approximately \$279 million from other sources including the Province of Alberta, corporate partners, and other funding agencies.
- Devonian Botanic Garden: Development of a new facility to house the Garden's diverse teaching, research, and community outreach initiatives that are appropriate to the natural setting. Current lottery funding has provided some seed money for the initial planning phase and additional funding is being sought from government and private sources.
- Islamic Garden: In June 2009, His Highness the Aga Khan announced plans to create a traditional Islamic garden within the university's Devonian Botanic Garden to express the growing partnership between the University of Alberta and Aga Khan University. The Lead garden Architect has been chosen and the concept planning has begun. The project will be developed in consultation and collaboration with the Ismaili Council for Edmonton and the Ismaili National Council for Canada, and will allow for further program development and community outreach. The Ecological Learning Centre is intended to integrate this and the other gardens within the Devonian Botanical Garden site.
- Saville Community Sports Centre: This joint use facility is an exemplar of how a partnership with a community based organization provides both the university and the community at large with a world class sporting facility that houses basketball, volleyball, and gymnastics. Funded by all three levels of government was augmented by university and donor funding.
- Student Housing: Building off of the opening of the new East Campus Graduate housing project, the university continues to review ways in delivering additional beds during low market rate conditions and yet still relatively high construction costs – currently the highest in Canada.

Project Completion in 2011-2012

The following projects were recorded as substantially completed in fiscal year 2011-12:

- Biological Sciences/Chemistry Centre West Building Upgrades: Select modernization of building systems in these two facilities on North Campus; Government of Alberta match of \$14.5 million to \$10 million in KIP funding.
- Centennial Centre for Interdisciplinary Science (CCIS): With continued support to direct positive project variances to this project, additional fundraising, and a \$7.5 million Faculty of Science mortgage, CCIS will be completed within the institution's capital funding envelope. While this project was caught in the peak of the escalated construction period, it was through the efforts of all parties that this project was able to meet its program obligations and provide the campus with a teaching and research facility for years to come. The official opening of the facility was September 23, 2010. This project will be seeking LEED[®] Silver certification.
- Edmonton Clinic Health Academy: This project provides an integrated, interdisciplinary model of ambulatory care, teaching, and research. While the approved budget is \$425 million, the projected cost identified in the mitigation plan was in the order of \$469 million. In 2009, a mitigation plan was developed and issued to government, which identified areas of continued cost savings as well as additional funding targets. This project continues to track under budget and saw classes being held within the building as scheduled in September 2010, and the official opening occurring on January 18, 2011. This project will be seeking LEED[®] Silver certification.
- Li Ka Shing Centre for Health Research Innovation and Katz Group Centre for Pharmacy and Health Research: As noted, great progress has been made over the past year due in large part to the funding support provided by the Government of Alberta. With the support of the Government of Alberta, the university has been successful in leveraging provincial funding to match the funding received through the Knowledge Infrastructure Program (KIP). The completed research space has helped the university to attract additional grant funding and top tier researchers that build on existing collaborative projects related to various medical and health initiatives. With the integration of pedway connections between Edmonton Clinic Health Academy, Medical Sciences Building, Heritage Medical Research Centre, and Education, the entire area will be interconnected by a series of interior and exterior pedways. Advanced planning and design allowed the university to meet the aggressive timelines of the KIP program and ensure that funding was maximized.
- Saville Community Sports Centre: Development of a community based multi-use recreation and sports complex on South Campus in partnership with the Go Community Centre. The facility provided international standard courts for basketball and volleyball as well as a substantial gymnastics program, and is the home to the Go Community Centre. This facility expands on the university's commitment to build joint use recreational facilities on the South Campus that support both the public good and university programming. The official opening of this building was September 17, 2011.
- Utility Expansion, Phases 3: Phase 3 was completed in July 2011 to service both buildings associated with the Edmonton Clinic projects. This project provides expansion of existing infrastructure required to provide a range of utilities to all of the proposed facilities in the greater campus area.

Major Funded Capital Projects Underway in 2011-2012

- Pharmacy Fit-Out: A 6,742 gross square-metre development of new Faculty of Pharmacy and Pharmaceutical Sciences space, to be incorporated into the second and the third floor footprint of the Katz Group Centre for Pharmacy and Health Research. The project budget is \$33,800,000 and

is funded through a provincial, one-time capital grant. Work began in early 2010, with an estimated 15-month construction period, and the project is on schedule. At the turnover of the Edmonton Clinic Health Academy, Phase II will commence with the renewal and repurposing of assigned space within the Medical Sciences Building and is scheduled for completion at the end of 2012.

Major Funded Preservation Programs Underway in 2011-2012

- **Infrastructure Maintenance Plan (IMP) Priorities:**
 - Asbestos Management: Development of a more comprehensive asbestos management database is in progress. Removal of hazardous materials will continue to impact project budgets.
 - Emerging Projects: Over the last five years, the university has experienced emerging projects that are a result of system or building failures. Examples include failures of the mechanical systems in the Humanities Building, and at Campus Saint-Jean, as well as building envelope concerns in the General Services Building and the Universiade Pavilion. These projects were managed as emergency work. Given the value of deferred maintenance on campus, this trend of unexpected serious issues may continue to occur, and new projects that are not identified within the Capital Plan will be brought forward. Submissions for these types of projects will be made to the Buildings and Land Information Management System (BLIMS) 12 in order to keep Alberta Infrastructure and Alberta Advanced Education and Technology informed of new needs.
 - Fall Arrest Program: Changes to occupational health and safety legislation have resulted in a requirement for a review of all roofing systems for fall restraint and access. The university has undertaken this review with an external consultant. The results of the review have been finalized with the identification of new remedial safety work required for roofing systems.
 - Fire and Life Safety: These continue to be priority projects for the university with significant investments being made for renewal of fire detection and emergency communication systems. The next level of projects will need to include provisions for upgrades to additional fire suppression systems.
 - Facilities and Operations has developed an approach to these challenges that focuses limited capital funding into facilities supporting excellence or facilities with high maintenance costs. This proactive approach has resulted in a lower Facility Condition Index (FCI) in key strategic buildings.
- **Chemical and Materials Engineering Building Renewal (Phase 2):** The completion of the remaining renewal (Phase 2), estimated at \$51 million, is dependent upon additional funding. Work will proceed and continually phased as funding becomes available.

Key Priority Areas and Capital Planning Considerations

The Capital Plan assumes that government guidelines and directions, including sustainability initiatives, must be met in the undertaking of planned projects. The university continues to work with government to develop a sustainability model for the institution that would be approved by all parties to facilitate sustainable design and operational practices.

The university's highest project priorities, listed below in alphabetical order, have been identified as needing additional funding support from the Alberta government. Due to continual review of budgets, and

scopes of previous and emerging projects, the priorities and estimated costs within the Capital Plan may not match the university's list of capital projects or values as outlined in the 2012 BLIMS submission. Project cost estimates are reviewed and updated annually and adjusted as required. The projected cash-flow requirements for completion of these projects to support the U of A's vision and this Comprehensive Institutional Plan are outlined in the *Major Capital Requirements: Ten-Year Forecast*, located in Appendix 1. Estimates have been adjusted to align with current market conditions and the university's and government's experience of the current construction costs and projected market escalation.

Priority 1: Continue Reduction in Deferred Maintenance Liability

As of Dec. 31, 2011, the estimated liability of deferred maintenance on university facilities (supported and unsupported), which specifically identifies condition related deficiencies recommended for remediation within five years, totals \$843 million (\$732 million for supported facilities and \$111 million for unsupported facilities). The provincial reporting process for deferred maintenance utilizes Facility Condition Index (FCI) values based on the total value of deferred maintenance liabilities over a five year period, divided by the replacement value of the facilities. While the deferred maintenance listed above remains high, it continues a downward trend, and the FCI for a number of our buildings has improved significantly.

The Government of Alberta's commitment to nearly double our Infrastructure Maintenance Program (IMP) funding 4 years ago has facilitated significant progress in addressing deferred maintenance. IMP funding remains a critical source of funding which continues to be leveraged in partnerships with other internal and external funds, multiplying the value of money many times over.

Assumptions

Going forward, it is assumed that, as a minimum, the current IMP funding levels will be maintained. Furthermore, given there may be no new capital funding commitment announced, the university's main focus will be on the continued preservation, repurposing, and renewal of its facilities. It is hoped that the recent economic slowdown will continue to present opportunities for more competitive bidding and excellent value for approved projects.

It is assumed that any building planned for renovations will have associated decant space available during construction, and any facility planned for major renovation or renewal will remain in use for an extended period of time after the renewal program is complete. Also, the university and government assume that a portion of annual IMP funding available must be either initially uncommitted or have the potential to be reallocated to allow for contingency and emerging issues that arise during each year's operations.

Finally, it is assumed that the institution must support whatever a building's primary function is, now and in the future. This strategy is aimed at ensuring effective and efficient building use, and maintaining the university's existing inventory while transforming learning environments to meet the needs of tomorrow's learners, educators, and researchers.

Objectives

- Ensure that we continue to maintain the condition and functionality of the university's physical assets, which play a critical role in our ability to attract, support, and retain the best students, faculty and staff
- Identify and proactively address deferred maintenance in a collaborative way with government and identify assets at, or near, the end of their functional life.
- Aid in the assignment of preservation funding. The university will continue to address renewal programs such as roofing, building envelope, piping, sidewalks, life safety, and security. The

university will support these programs by allocating a portion of the Infrastructure Maintenance Program (IMP) dollars across the institution, as accepted by the Province and within the guidelines set by IMP.

- Obtain sufficient resources to meet priority and contingent needs for maintaining and upgrading existing facilities.

Initiatives

- Three-Year Infrastructure Maintenance Program Expenditure Plans: This initiative was adopted by the university in 2004 and formalized with a request by government for an initial submission in 2008. The rolling three-year plan is now part of the university's annual reporting to government. This plan has recently faced new restriction challenges by the Ministry of Infrastructure and the university is working through a process to have the conditions reassessed.
- Update to the 10-Year Strategic Preservation Plan for Maintenance and Functional Renewal: This initiative began in 2005 and was updated in 2010–11. This will provide the university and government with updated strategies and project prioritization to maintain and renew the institution's owned facilities, as a result of new IMP funding commitments, IMP guidelines, and changes in building renewal priorities.
- Life-Cycle Costing: The university will be working with government to prepare a planning document related to infrastructure, deferred maintenance, renewal, and repurposing needs that would provide a long-term life-cycle cost approach addressing all aspects of a facility. This plan would allow for a long-term funding approach to address the backlog of deferred maintenance and facilities renewal/repurposing requirements. This plan must be data driven and while the University of Alberta has accurate data to support this undertaking, not all institutions do. Therefore, the university will be breaking new ground regarding support for funding requests with this process.
- Preservation -Good News Stories: Initiated in 2010, the university has now prepared and delivered two "Good News Story" brochures on our achievements in reduction of deferred maintenance and renewal of facilities. The university intends to continue reporting good news stories on an annual basis.

Key Issues

- Sustainability: Renewal of target buildings that are functional and structurally sound result in lowering the carbon footprint and energy requirements associated with these older assets. The potential social, environmental, and economic benefits can be dramatic.
- Operational Continuity: An inability to maintain the operations, functionality and utilization of capital assets places the institution at risk of negatively impacting current and future research, teaching, and learning.
- Space Utilization: The university is reviewing space utilization to determine how underutilized space could contribute towards assisting in providing swing space to facilitate a more logical and comprehensive renewal/repurposing project.

Priority 2: Combination Backfill/Functional Renewal Projects

Assumptions

Recent investment for new facilities has created an opportunity to creatively address the need to accommodate the need of backfill and renewal of recently vacated space/buildings.

Older facilities are not designed to accommodate the increased functional and operational demands associated with the research intensive programming resulting from the university's vision and mandate.

Coupling backfill requirements with renewal projects provide a sustainable, best-value model of capital projects that meets the pedagogical needs for tomorrow's learners and researchers at a reduced capital cost and minimizes the need for new buildings.

Objectives

- Maximize the opportunities to identify and proactively address deferred maintenance in recently vacated space, through the combination of joint renewal and repurposing projects.
- Maximize utilization of existing space by ensuring that space is functional for the future and extends the life of existing infrastructure.

Initiatives

- Dentistry Pharmacy Repurposing: The completion of the Edmonton Clinic projects will result in the near full vacating of the university's Dentistry Pharmacy building. With the support of government funding, the university will complete programming, on-site investigations, and preliminary design to identify best fit for the renewal and repurposing of one of the university's landmark facilities and complete the Business Case for future investment.
- Functional Deficiencies Data: The University of Alberta, in partnership with government and other post-secondary institutions, is in discussions to develop a system to address the issue of lack of data for functional deficiencies in buildings. This will be a long-term initiative.
- Project Identification: Working with various faculties' General Space Programs, the university will identify opportunities where backfill opportunities exist in buildings with deferred maintenance needs.
- Student Housing: The university has recently completed studies with respect to the modernization of HUB and Lister student housing communities as well as the redevelopment of family housing at Michener Park.

Key Issues

- Sustainability: Renewal and repurposing of target buildings that are functional and structurally sound result in lower costs when compared to the cost of a new building and/or simply systems replacement.
- Renewal and/or Repurposing: Adequate funding for repurposing space in key buildings is still a challenge. Deferred maintenance is an ongoing issue, but when renewal projects are coupled with modernization projects, the entire functionality of the building is upgraded to meet the needs of today's learners, teachers, and researchers.

- Backfill: While backfill is not normally thought of as being a part of preservation, nearly every project has some backfill and adjacency impacts. Upgrades required in adjacent facilities have an impact on the cost of major projects, such as when these spaces can accommodate required swing space to lower project costs associated with multiple phasing of larger renewal projects.

Priority 3: Envelope Funding for Planning and Pre-Design Services

Assumptions

It is assumed that, prior to entering design phases for a capital project, certain services, beyond the capacity of the institution's staff, must be procured in order to clarify needs (e.g. general and functional space programming), identify solution alternatives, select the preferred solution, and determine scope, size, and a relatively firm cost of the solution. When dealing with existing facilities, it is imperative to understand the constraints presented by the facility, within which the project team must work in the case of a redevelopment/renewal program. In addition, services of external professionals are often required to assist with significant initiatives, such as studies and master plans, to clearly define objectives, future use, and adjacency issues.

Planning and pre-design funding is required for the university to have an inventory of projects in a state of readiness as new capital funding becomes available. This will position potential projects to lead rather than follow the recovery of the construction sector, potentially saving millions of dollars in inflationary costs as projects will be able to move quickly into construction utilizing the best construction procurement model. This would allow the university and government to be prepared to quickly enter the construction market as funds become available. The university understands that approval of planning and pre-design funding does not constitute approval of a full capital project.

North Campus has nearly reached its growth capacity and is one of North America's densest campuses. For the university to continue to grow and meet its obligations under the Roles and Mandates document, expansion of South Campus is becoming critical. Master planning is underway to determine the critical mass required for the sustainable development of South Campus.

Objectives

- Establish a funding envelope to ensure that critical projects and initiatives can be funded adequately and in a timely manner. The funding plan for the envelope would include government contributions through capital grants as well as contributions from internal sources where possible.
- Provide strong and clear campus planning documents that are rooted in leading urban design and sustainability principles. The plans will seek to provide the necessary direction ensuring the academic program needs of the university are provided, with careful considerations to the expressed interests of the surrounding neighbourhoods.

Initiatives

- Secure Funding for Planning and Pre-Design Services: In October of 2009, a letter was submitted to government outlining the importance of planning and pre-design funding under the current economy. The letter delineated two potential approaches to planning and pre-design funds. The first was a list of projects and estimated design costs per project, with funds proposed to be disbursed over three fiscal years. The second approach would be to work with government to establish an annual funding allowance. At that time, the suggested annual planning request was \$3–4 million.
- Project Readiness and Responsiveness: Within this framework, projects yet to be approved would be partially advanced prior to project approval. Taking this action provides significant

benefits since better defined project scopes and budgets provide a higher level of program and cost certainty. It also facilitates both a quantitative and qualitative approach in matching the project with the most appropriate delivery model, whether a traditional design bid build or a more entrepreneurial P3 approach. Lastly, it positions the institution and government to respond quickly to the ever-changing construction market place and new potential funding programs like the Knowledge Infrastructure Program.

Key Issues

- **Backfill Planning and Repurposing:** With the completion of a number of new buildings, there is an opportunity to leverage renewal with redevelopment. Given the goals and aspirations outlined in the CIP and the existing deferred maintenance associated with these buildings, there are a number of factors that require consideration in assessing the residual capacity resulting from new construction. Upfront planning will enable the university to create a renewal and repurposing plan to ensure today's assets can deliver tomorrow's programs in the most sustainable way.
- **Increased Research Intensity:** As a research-intensive institution, there is a growing need to convert administrative and undergraduate space to accommodate growth in the graduate, doctoral, and postdoctoral programs. These research spaces require significantly more physical space and infrastructure than the university's aging inventory can accommodate. Advanced planning is essential in order to investigate how to best renew and repurpose these areas to maximize utilization.
- **Increasing Area of Aging Infrastructure:** While new construction has accommodated the planned growth of the institution, the university must continue to respond to the learning goals of the institution. There are a number of targeted buildings for which planning work must be completed to ensure that issues such as access, teaching, learning, and support needs, are addressed in a planned and sustainable manner. These buildings include: Dentistry/Pharmacy, Medical Sciences Building, the Clinical Sciences Building, and the Civil/Electrical Building. Advanced planning and pre-design funding would provide the opportunity to responsibly accommodate future growth, while aligning with the expectations of government.
- **Campus Planning and Community Expectations:** As part of building relationships with our surrounding communities, the university continually engages its neighbours and stakeholders in the planning and design of its campuses as they develop. Communities are requiring the university's planning documents be detailed enough so the communities are fully aware of development impacts. Critical to a project, like the development of sector plans for the South Campus, is the creation of a framework that in turn provides clarity and understanding, as well as an interpretive plan that guides a multitude of designers and planners for the next 30-plus years. There are a variety of Sector Plans that need to be updated and depending on the outcomes of these consultations there may be the need to update the LRDP to reflect changes to land use resulting from these consultations.
- **Long Range Development Plan:** The Long Range Development Plan needs to be updated to reflect new lands acquired such as Enterprise Square, St. Albert lands, Devonian Botanic Garden, Kinsella Ranch and Mattheis Ranch.

Priority 4: Student and Workforce Housing

Assumptions

The university continues to respond to pressures for additional student residences, as well as faculty and

staff housing. Research indicates that the quality of these facilities and the academic program contained within correlate with academic performance and the attraction, retention, and success of students, faculty, and staff. The university maintains its vision of providing purpose-built housing for at least 25 percent of full-time students.

In alignment with the university's white paper on student housing, the University Plan, and the priorities of the Government of Alberta, it is assumed that there is an increased need for on-campus, purpose-built, and accessible housing. There is also an increasing need to integrate support programs and academic learning space into student housing communities in order to attract and retain targeted groups such as graduate, rural, Aboriginal and international students, as well as students with families. There is a continued need to explore funding strategies for student housing in support of increased access.

It is further assumed that during this planning period, there will be emerging pressure to strategically develop market housing options for staff and faculty in order to remain competitive with respect to attracting and retaining talented faculty and staff.

Objectives

- Present and discuss the findings and recommendations contained in the University of Alberta's White Paper, *Student Housing – for Now and for the Future* (August 2009).
- Continue working with Advanced Education and Technology, other ministries, and stakeholders to develop creative housing solutions that meet the goals of students and their families as well as those of the University of Alberta.
- Emphasize the importance of funding for program space in residences that support the academic mission and student success.

Initiatives

- Residence Services Accommodation and Program Study: Purpose-built, accessible, on-campus student housing has the ability to augment and enrich students' academic experiences. The Residence Services Accommodation and Program Study: Dare to Deliver presents a road map with respect to how residences might develop in the future as well as what types of programs and activities should occur in support of the development of the whole person. The university will be using this document as a guide in planning and developing additional space to provide opportunities and access to rural, Aboriginal, under-represented, and international students, as well as students with families.
- Condition and Functionality: The university does not receive targeted deferred maintenance funding for student residences. Student residences have high infrastructure needs and these are compounded by the university's inability to recover the cost of maintenance or modernization backlog via rental revenues. In 2010–11, the university began reviewing strategies that would help build a reserve fund to be accessed for maintenance, renewal, and expansion of student residences (Residence Services Capital Reserve Strategy, June 2010). Changing student demographics and requirements as well as improved understanding of program delivery are driving the need for modernization in several student residence communities.
- Capacity: The university continues to explore strategies to add student residence capacity on its campuses, as well as to provide workforce housing options on the West 240 lands at South Campus. Locating students closer to other campus services and facilities has an important impact on student engagement and how they relate to their experiences at university and supports the institution's stated goals of achieving a target of 25 percent of full time students living in university residences.

- Partners: The university will continue to meet with private sector developers to explore viable options to achieve our residence and housing targets.
- Property Taxes: The university will continue to discuss means of eliminating property tax assessment on student housing thereby improving accessibility.
- Support for Program Areas: In some student housing communities (especially in 1st and 2nd year residences) as much as 20% to 35% of the gross area is being utilized to provide space that accommodates co-curricular programming, study halls and other student support services. If these spaces did not exist in residences and funded through rents, there would be pressure to provide these spaces elsewhere on campus. The university will continue to work with government to find ways to acknowledge these aspects of student development as the residence system is expanded and modernized.
- Lights on Funding: Further to the above, the university will continue to discuss ways to bring lights-on funding to residence spaces used to provide student support.
- Deferred Maintenance: Further to comments earlier in the plan, the university will continue to work with government to identify one-time and continuing deferred maintenance funding for student housing in order to prevent closure of much needed residence spaces.

Priority 5: New Space

Assumptions

Over the last few years the university, through the support of government, has added approximately 150,000 square metres of new/expansion space, most of which has already been accounted for in approved program expansions. As the university continues to take a measured response to growth in accordance with its mission and vision, there is still a need for strategic construction of critical new facilities and to respect that the needs of our campuses vary as they each serve unique and separate constituencies within Alberta.

The institution has identified a number of new and expansion projects critical to the mission, vision, reputation, and global competitiveness of the institute, a majority of which were identified prior to the economic downturn. Some of these highest priority projects include: a building expansion to accommodate the science programs at Campus Saint-Jean; a new School of Business Building to accommodate growth within the Faculty of Business and needed space within the humanities and social science departments within Arts; Innovation Centre for Engineering; relocation and program accommodation for both the Faculties of Agricultural Life and Environmental Sciences and Physical Education and Recreation at South Campus.

There are also a number of critical academic support facilities that have been identified as supporting the broad academic instruction of the institution, including the Physical Activity and Wellness Centre, Cameron Library and Information Pavilions, and a the Gathering Place. These are all examples of the types of support infrastructure required to ensure the academic success of every student. These academic support facilities are discussed in greater detail in the next section.

Objectives

- Outline the capital needs of the institution in order to deliver the vision and programs included within the Comprehensive Institutional Plan. Through this process, the U of A, in partnership

with government, can continue to be an institution of choice for Albertans, Canadians, and the global communities it seeks to serve. Space must not only provide simple access, but also ensure that the entire educational and life experience is supported for student success.

- Confirm the state of the current inventory of academic support facilities, identify adequacy, appropriateness and availability, and engage government in discussions to outline the importance of these facilities and remediate identified shortfalls in these integrated program areas.

Initiatives

- Priority Setting: Continue to work with government to align priorities for new capital and partnerships.
- Strategically Advance Planning: Continue to work on advanced planning of high-priority projects in order for those projects to be in a state of readiness once new capital funding becomes available.
- Partnerships: Continue to explore partnerships through donations and alternate financing and project delivery models to leverage any available funding and/or reduce initial capital investment.

Key Issues

- Provincial and Global Economies: Currently the key issues affecting new space on campus are receiving new capital funding during continued economic uncertainty and volatility.
- Lack of Adequate Academic Support Space: Academic support facilities play an instrumental role in academic achievement and fundamentally support learning and research, as well as the attraction and retention of students, faculty, and staff. Over the past ten years, there has been a concentrated focus on funding projects that lead directly to a much-needed increase in access, which has now put a strain on our academic support spaces. The current economic situation provides an opportunity to take a second look at determining how best to accommodate the need for adequate academic support space, which has not grown proportionally with recent increases in enrolment.

Additional Planning Considerations

Space Management

- Provision of Right Space: The university continues to work to provide adequate and appropriate space in order to accommodate changing pedagogy and program requirements in response to the needs of tomorrow's learners and increased sponsored research activity.
- Campus Alberta: Another challenge facing the university is how to address the space needs related to attracting, recruiting, and retaining students and faculty in alignment with the Province's Roles and Mandates Policy Framework. The university will continue to explore strategies in collaboration with other institutions to aid in student recruitment and retention.
- Leveraging Funding: The university continues to leverage funding from government (e.g. grants, KIP), donations, and public/private partnerships (e.g. GO Community Centre, Devonian Botanic Garden, Physical Activity and Wellness Centre) to develop its current space and building assets.

Institutional Strategies and Support

- Alternate Financing Arrangements: Along with pursuing innovative partnerships for property development, the university also looks for alternate financing arrangements where feasible and advantageous. Other alternative financing, such as bond issues and P3s, will also be explored where appropriate. Increasingly, the funding of projects in this Capital Plan will reflect the partnerships noted above and will include funds from multiple sources. Donations, as well as partner contributions, will be sought and used to complete needed facilities. Leasing options will also be considered to lessen the demand for capital funding. The university will continue to look at ways to involve the private sector in the repair, development, and operation of new and existing housing inventory.
- Partnership Development: Opportunities to develop partnerships could allow the university to leverage funding and develop its physical resources in a cost-effective manner. While this priority initiative presents a major opportunity for the university to develop its physical resources in an innovative and cost effective manner, it also presents significant challenges to both the institution and province. First, the institution, along with government as its primary funding partner, must work within current public policy. Second, the university must carefully weigh the advantages apparent in a partnership arrangement against the potential loss of control over the future of its resources.
- Campus Alberta: The university continues to work with its post-secondary partners to explore opportunities of sharing resources, both physical and operational, for the mutual benefit of all parties. The university has a significant intellectual resource base and capacity to assist and support these institutions as requested.
- Data Systems: In order to abide by government mandate, determine investment need, and track results of investing, appropriate data systems with reliable, detailed, and consistent information are an essential starting point. Facility data is contained in several different information systems, which are maintained and used for a variety of purposes.

For building operations and asset management, computerized maintenance management systems provide the critical means needed to manage responses; maintenance; budget; supplies, parts and materials inventory; track building labour costs; and building system life cycles; equipment; and structure. In addition, faculty work requests and project financial tracking provide the university with the ability to accurately manage costs and apply charges.

In this regard, Facilities and Operations' Utilities department has successfully deployed a billing system that has replaced an in-house legacy system. As Utilities fully explores the capabilities of the new system, customers will be provided with timely access to their usage data so that they can successfully manage their businesses.

At different levels, all internal constituents have a stake in appropriate quality and quantity of university facilities. However, when planning the functional renewal and the operation of facilities, there are key stakeholders who must understand issues, have access to available data, and be able to contribute to identifying necessary, achievable, and effective investment options.

The legacy system used by Facilities and Operations is currently being updated in order to accommodate reporting requirements. The update will also help to mitigate risk to operations and operational data, as well as provide meaningful information to internal and external stakeholders

in a consistent manner.

Unsupported Services

- **Information Technology:** Although grants cover purchases for information technology, there is a need for agreement on government support of maintenance and replacement for core information technology services. A key element to this support is that it must be a new funding source and not take funds away from the existing facilities deferred maintenance grant. Information technology is foundational in a modern building. It can be used to control security, power usage, air conditioning, elevators, telephones, and many other core services. This infrastructure eventually wears out and/or needs upgrading to continue meeting operational, teaching and research needs.
- **Residences:** Government considers residence operations to be cost recovery and does not currently provide any level of funding support. The university, in conjunction with other institutional partners, published a white paper on student housing, which was submitted to government in August of 2009. This white paper makes practical recommendations with respect to how the University of Alberta, while working with the government, can ensure the availability of accessible student housing that facilitates access by rural Albertan students and others, supports the development of the whole person, and meets the goals and aspirations of the Province and the university. The white paper also discusses the fact that effective student housing can include 20-35 percent program area spaces that are used for the delivery of co-curricular and other programs that help students succeed. These spaces are currently funded via student rents and receive no central support.
- **Child care:** The lack of available and affordable child-care options on campus is becoming a deterrent, not only to the recruitment of staff and faculty, but also to the attraction and retention of graduate students and students from traditionally under represented cohorts such as those from the Aboriginal community.

Other Influences and Challenges

- Facility operating costs for high intensity research facilities may still be greater than the funding provided through the Base Operating Grants. The university must carefully monitor actual costs in these facilities to determine if a significant shortfall continues, and report to government accordingly.
- While the university appreciates and acknowledges government's efforts to provide lights-on-funding for the Centennial Centre for Interdisciplinary Science and Edmonton Clinic Health Academy, failure to provide adequate operational support/bridging would result in a significant operational shortfall to the institution that will directly impact overall operational service for existing facilities.
- The objectives of accessibility, affordability and quality education contained in Campus Alberta and Access to the Future will continue to influence the university's planning processes. Also, the government's initiative to ensure sustainability of facilities will influence planning and implementation of both renovation and new construction projects.
- Many elements influence planning and implementation of preservation, expansion, and new construction projects, including:

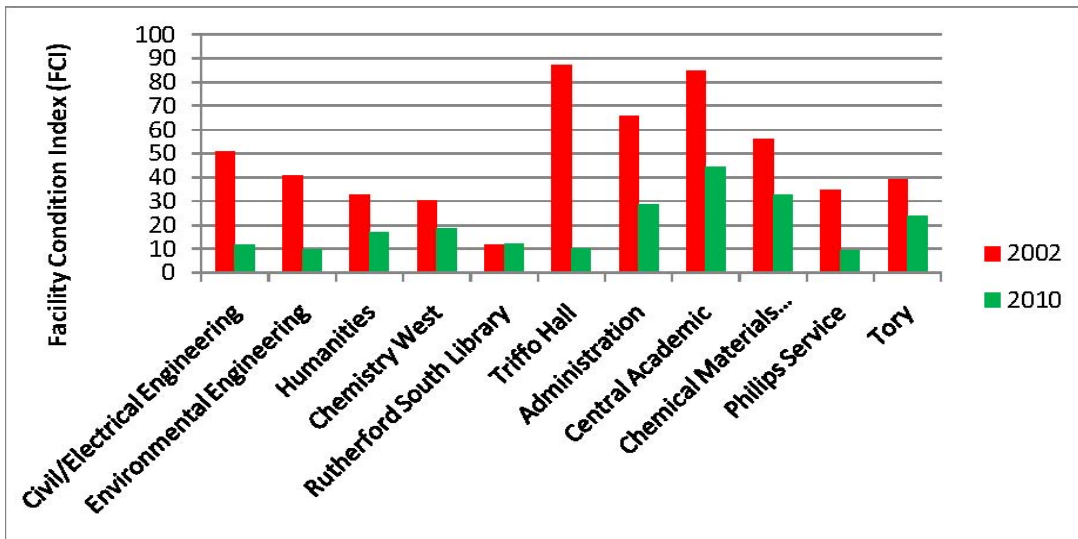
- Business case development required for projects outlining the need for additional space and/or grant funding.
- The deferred maintenance liability cannot be reduced unless an increase in grant funding and/or one-time funding is received for preservation and renewal projects. Although not recognized as deferred maintenance, there is also a need to expend significant amounts on functionality issues for which data is not readily available.
- Government’s capital planning process and its timing of approval decisions and funding announcements greatly influence the ability of institutions to plan and implement capital projects, including presentation of final budgets.
- New construction is required to be at a LEED® Silver certification level. The university continues to engage government to look for the most economical means of validating building designs and operations in the interest of achieving the university’s sustainability goals and is actively pursuing alternative, cost effective strategies to provide equal or greater certification levels at a lower cost of delivery.
- The ability to leverage donor contributions and other sources of funds with government funding for capital projects is decreasing but still pursued.

Current State of Assets

The university manages a portfolio of facilities totalling 1.65 million gross square metres and averaging 42 years of age.

Deferred Maintenance Program

The university is grateful for the continuation of the increased IMP base funding support which was received in 2010–11 and additional one-time grants, which have helped to address some serious condition and functional deficiencies, benefitting the students and faculty of the university. The University of Alberta, with assistance from the Government of Alberta, continues to make progress in reducing the



overall deferred maintenance value, and has resulted in significant improvements to the Facility Condition Index for a number of our buildings (see Figure 6.1). The university will continue to provide a separate

report on the progress made and the benefits to its deferred maintenance program.

Figure 6.1–Measured Facility Condition Improvements [heading needs to be connected to chart above]

While current levels of regular IMP grants have resulted in slight decreases to the measured deferred maintenance liability, current funding is inadequate to eliminate the backlog of infrastructure renewal required without supplementary one-time grants for large high-priority projects. Additional funding envelopes and/or one time-grants for deferred maintenance are needed for the university to make significant inroads in reducing our deferred maintenance liability.

Figure 6.2 (Maintenance and Facility Renewal Costs vs. IMP and One-Time Funding) shows current comparisons between deferred maintenance backlog and current funding commitments over the last eight years.

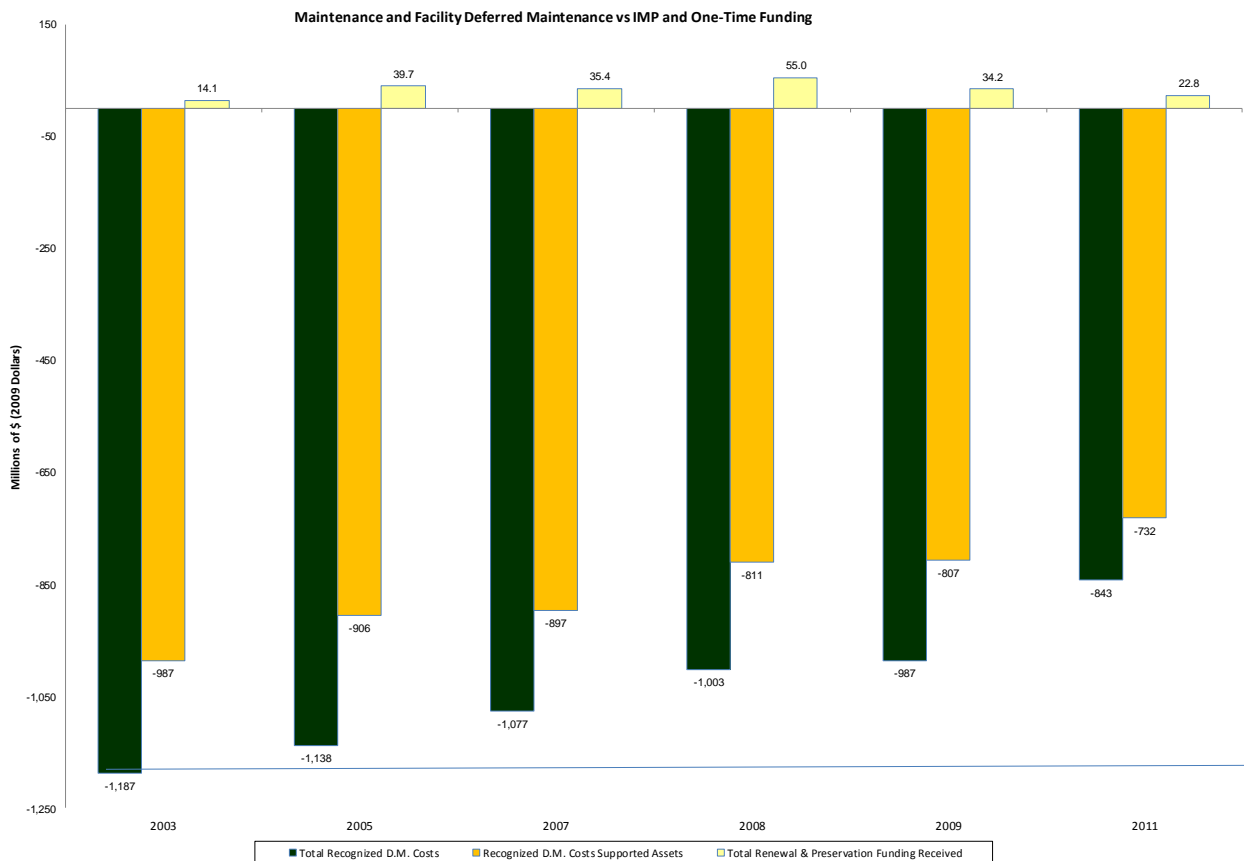


Figure 6.2–Maintenance and Facility Deferred Maintenance vs. IMP and One-Time Funding

Upgrading

While the extent of functionality issues is known, there is no current system in place with government for measuring, tracking, or funding of functionality issues. Additionally, there is no support for functional deficiencies such as code upgrades, life safety, and hazardous materials removal. For the 2011–12 fiscal year, Facilities and Operations will be preparing a model for presentation on the impact of functional

renewal for budget planning.

Figure 6.3 University of Alberta Recognized and Unrecognized Deferred Maintenance as of December 2011, Five Years, Costs by Event Type, shows the deferred maintenance backlog of supported and unsupported facilities by type of event (red bars) and the upgrades or events not recognized by government as deferred maintenance (blue bars), which have been identified to date through building condition assessments. Functional renewal costs associated with deferred maintenance are not included. It is expected that a systematic audit of functionality deficiencies will uncover substantially higher dollar figures. Only a detailed audit on asbestos has been performed internally, with the resulting figure shown in the chart.

Challenges

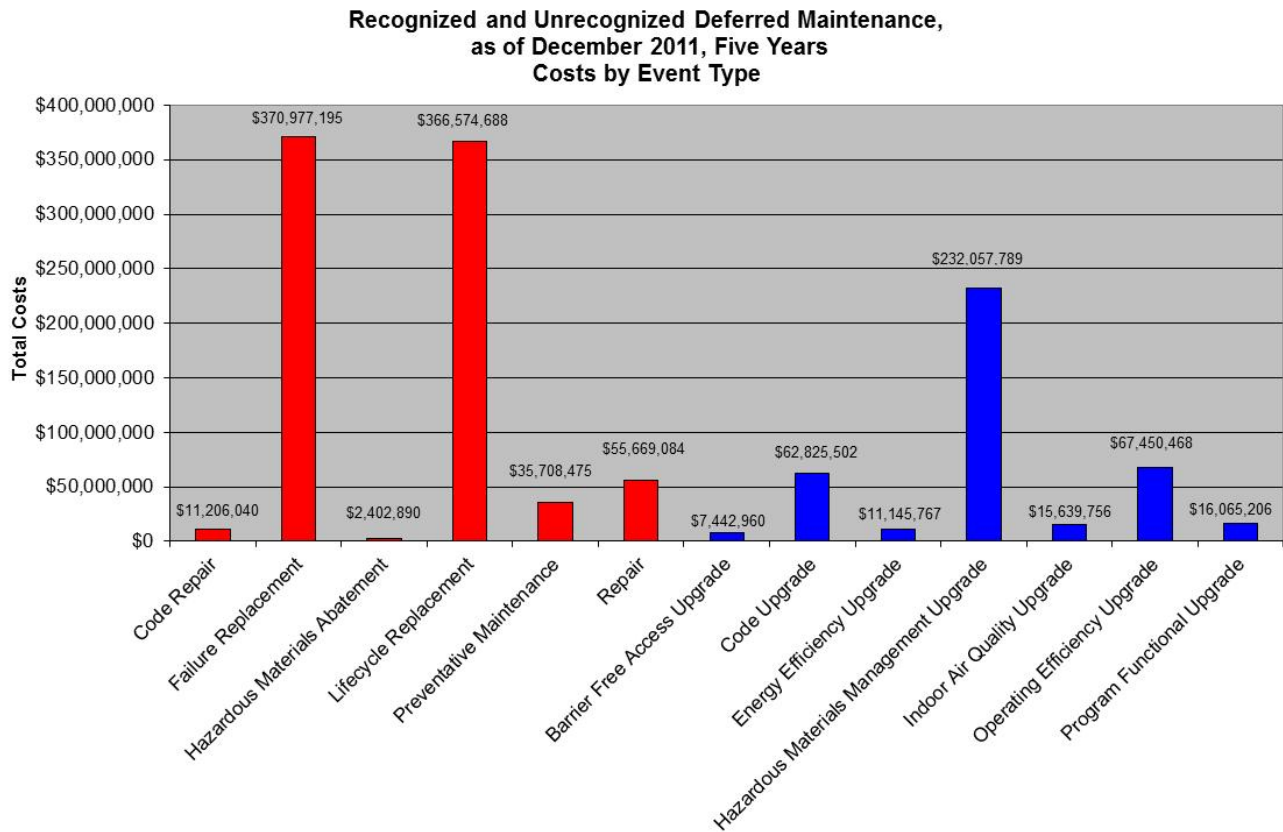


Figure 6.3—Recognized and Unrecognized Deferred Maintenance, as of December 2011, Five Years Costs by Event Type

Residences

Student residences have high infrastructure renewal needs. This is compounded by the inability to recover the cost of the backlog from rental revenues. At the University of Alberta, a large portion of current residence accommodation is not only at the end of its useful life, but also is functionally challenged to support the directions of the university and government; as an example, supportive accommodations directed at increasing the numbers of Aboriginal students attending the University of Alberta. As new facilities are brought on stream, capital reserves have been established as part of the

operating budget.

Risk Management/Life Safety Issues

Despite continued funding pressures and deferred maintenance backlog, some projects must proceed in order to respond to emergency situations. These projects may have to be funded from internal or alternate sources until specific grant funding is available from government. Also, contingency funds from existing funding can be inadequate to cover major system failures in large aging facilities. Due to the number of recent major failures, the university has pursued the creation of a risk pool to enable the institution to be in a position to address future events should they occur. The risk pool would be created from the increased IMP grant funding over a period of three to five years. This mitigation strategy has been discussed with government officials, and will form part of the institution’s Three Year IMP Expenditure Plans.

Capital Funding Requests

Pre-Design Projects Requiring Funding

Planning and pre-design services work is critical to the long range planning of the institution because it demonstrates how best to maximize utilization of land holding, buildings available for repurposing, or projects critical to the delivery of the institution’s academic program. The projects listed below represent priority planning projects that are planned over the next three to four years. **Due to the critical nature of these projects, some of them have proceeded in advance of government funding approval (denoted by*)**

Table 6.1 - Pre-Design / Design Projects Requiring Funding (listed in alphabetical order)		
Project	Description	Request (\$)
Gathering Place *	Design for a centre focused on Aboriginal students, faculty, and staff to serve as a community gathering place that embraces and provides an inclusive and supportive learning environment to increase participation by First Nations peoples within the post-secondary sector.	1,500,000
Agricultural, Life & Environmental Sciences (ALES)	Planning for the growth and emerging priorities of the faculty in research and teaching and the feasibility of consolidating faculty departments in a single facility on the South Campus, including the assessment of other lands.	3,250,000
Biomedical Engineering Building (Pre-Design)	Pre-design to build infrastructure and acquire equipment necessary to facilitate development of Canadian Institute of Bio-Medical Engineering on the U of A North Campus.	1,250,000
Campus Saint Jean – Science Expansion *	Expansion and infrastructure improvements of the existing facility to meet the needs related to the expansion and improvement of sciences programs, partnerships with other faculties, and dedicated research space.	1,500,000
Physical Activity and Wellness Centre *	Pre-design for the construction of an addition and upgrades to the physical education and fitness/wellness centre for use by the entire campus community and for the more efficient placement/expansion of services.	1,500,000

Physical Education and Recreation (PER) new faculty building and research consolidation	Planning for the growth and emerging priorities of the faculty in research and teaching and the feasibility of consolidating faculty departments in a single facility on the South Campus, including the assessment of other lands.	3,000,000
School of Business	Development of a building for the School of Business in a partnered opportunity with private sector. A building for the School of Business also accommodates backfill requirements of social sciences and support their growth needs.	1,750,000
Scientific Support Facilities Master Plan *	Plan to undertake a comprehensive review of all scientific support facilities and their locations and develop strategies to meet the challenges of providing this program in a multi-faculty, multi-location setting in the most cost effective manner without sacrificing access, care, or quality.	1,000,000
South Campus Master Plan *	Sector planning needs to be completed for the land use and for a phased and sustainable utilities/infrastructure strategy that will accommodate projected long-term growth on this site and the possible relocation of some of the existing operations to off-site research stations.	3,250,000
Total		\$18,000,000

Unfunded Priorities

The following are the university's highest priorities in the categories of (1) Preservation, and (2) New and Expansion, for which the institution is requesting consideration of government approval and funding support. Due to continual review of budgets and scopes of previous and emerging projects, the priorities and costs within the Capital Plan may not necessarily match the university's list of capital projects outlined in the 2012 BLIMS submission. However, the university assumes that projects identified as priorities in this update will, for the most part, be carried forward in the 2013 BLIMS submission.

The project costs are adjusted annually with current values representing 2012 construction dollars. Escalation values are provided by Alberta Infrastructure at the time of final entry. The projected cash flow requirements for completion of these projects to support both the university's vision and the University of Alberta's CIP are included in Appendix 2.

Preservation Projects in Table 6.2, included in the \$40 million dollar annual deferred maintenance one-time grant program identified within the major Capital Requirement Ten-Year Forecast chart, are denoted by an asterisk (*).

Preservation Projects – No Additional Space in Inventory

Table 6.2 - Highest Preservation Priorities (listed in alphabetical order)		
Project	Description	Request (\$)
Biological Sciences Renewal Program – Phase 1	Phase 1 of renewal program for Biological Sciences. Significant upgrades to mechanical and electrical base building infrastructure to support current and future needs.	57,106,970

Cameron Library Information Pavilions Phase 1 *	Phase 1 redevelopment and upgrade of Cameron Library to create an integrated learning environment with comprehensive user support, group study rooms, and a variety of settings for group discussion and quiet study zones.	11,000,000
Campus Wide Fire Alarm Modernization *	Replace/retrofit/renew fire alarm infrastructure in university buildings.	11,309,335
Campus Wide Fire Suppression Upgrade *	Replace/retrofit/renew fire suppression infrastructure in university buildings.	11,214,516
Chemical and Materials Engineering Building – Renewal (Phase 2)	Renewal and repurposing of the building to provide needed wet lab space for Engineering and address building envelope and operational issues. Phase 2 is the continuation of the project and would fully renew the existing aged elements and address high FCI. The Faculty of Engineering is providing \$5,000,000 toward Phase 2 of the renewal.	60,300,000
Chemistry West – Phase 3 of Renewal – Building Envelope Perimeter Heating and Interior Upgrades	Upgrades for remaining floors on the north portion of the facility to the same standard as floors 4 and 5. Remaining floors to be upgraded on north 50% - basement, L1, L2, and L3. Replacement of perimeter heating system with individual controlled room zones.	4,848,705
Chemistry West & Chemistry East – Electrical Vault / Emergency Power Upgrade *	Electrical services for the facility are at capacity; no emergency power is available for building life safety systems. New electrical room and generator required.	3,100,000
Clinical Sciences Building: Phase 1 Design *	Building renewal and backfill to occur once the Edmonton Clinic Health Academy is complete – pre-design funds required for 2009–10 allowed for development of schematic design and project budgets. Focus is for improved condition and change in functionality. The project could be approached in three phases of renewal of the tower.	10,774,900
Dentistry/Pharmacy Building - Renewal	Functional renewal of the building once the Edmonton Clinic Health Academy is complete and faculties have relocated. The existing building, constructed in 1921, has a high deferred maintenance liability and must be completely retrofitted before new tenants can be moved in. Please note \$26,900,000 of this value is part of the scope for renovations related to the School of Energy and the Environment. Selection of consultants for pre-design has taken place. The project will require advance work in the West Lecture Theatre to accommodate decant needs.	210,110,550

Institutional Backfill *	Backfill renewal and repurpose of space that becomes available once CCIS-2 is complete, primarily within Biological Sciences, Earth Sciences, Chemistry and Civil Electrical Engineering for other institutional growth needs across the institution.	12,900,000
Medical Sciences Building: Phase 1 Renewal *	Select building renewal and repurposing/backfill to occur once the Edmonton Clinic Health Academy is complete.	26,915,700
Medical Sciences Building: Phase 2 Building Upgrade	Full facility renewal program and backfill.	86,199,200
Replacement of Remote Control Monitoring System (RCMS) *	Current remote control monitoring system provides control and monitoring of the major mechanical systems and space conditions in all major buildings, both on and off main campus. Replacement of obsolete system which is critical to day-to-day operation of university buildings.	22,065,918
Roofing Program *	Campus-wide program for upgrading of roofing systems for a three-year period to deal with roofing systems that are in the 12 to 15 year range and will be nearing the end of life expectancy.	8,081,175
Scientific Support: Renewal	Campus-wide program to update scientific support spaces, renewal required to meet current code requirements.	4,350,000
Universiade Pavilion: Building Envelope Upgrade *	Renewal of building envelope to replace failing panels.	7,650,179
University Hall – Building System Upgrades *	Complete replacement of mechanical systems serving University Hall. Will require architectural renewal to accommodate changes. Work has been progressing on a select deferred maintenance project basis to support overall building renewal	8,188,924
Van Vliet East & West - Upgrade of Mechanical Systems *	Complete renewal of building mechanical systems currently in very poor condition. Given student support of the Physical Activity and Wellness Centre project, there is an opportunity to partner for partial renewal of Van Vliet. Partial renewal deferred maintenance funds for this phase of work would be \$4 million.	11,529,143
Various Facilities – Electrical Vault Upgrades *	Campus-wide upgrades of electrical vaults currently in poor condition and close to failure.	20,736,600
Total		\$580,072,815

Highest New and Expansion Projects – Additional Space in Inventory

Table 6.3 - Highest **New and Expansion** Priorities (listed in alphabetical order)

Project	Description	New Space (m ²)	Request (\$)
Gathering Place	Centre focused on Aboriginal students, faculty and staff to serve as a community gathering place that embraces and provides an inclusive and supportive learning environment. The university has secured a donation of \$1,000,000 to initiate the project.	6,500	26,937,250
Agricultural, Life and Environmental Sciences Building	Planning for the growth and emerging priorities of the faculty in research and teaching, and the feasibility of consolidating faculty departments in a single facility within South Campus. Assessment of the impact of other lands being utilized by the faculty on its operations and programs.	61,000	357,000,000
Augustana Classroom Building Upgrade	Repurpose of existing library space after completion of new library at Augustana. Includes abatement, exterior, code, and repurposing.	2,2290	9,034,324
Cameron Library & Information Pavilions (CLIP)– Phase 2	Construction of new Book and Records Depository (BARD) in order to meet program growth and storage requirements of the existing BARD collection.	14,870	91,586,650
CLIP – Phase 3	New space for Museum and Collections Services (MACS) to provide centralized space for collections with proper temperature and humidity controls.	32,437	165,000,000
Campus Saint-Jean Science Building	Expansion and renovation of existing facility to meet the needs related to differential program enrolment throughout the entire campus, the creation of new programs and partnerships with other faculties, and dedicated research space, which will allow opportunities for reuse within the backfill area. The university is targeting an additional \$10 million in Federal support.	5,319	44,177,090
Chemical and Materials Engineering Infill Building – Fit-out	Shell and core construction of an adjacent North Tower expansion (\$80,000,000) has proceeded with funding through the Faculty of Engineering. The fit-out is required to provide teaching and research space to accommodate the program growth within the faculty. This project will also consolidate and co-locate department's offices and administrative units.	29,406	\$40,000,000
Clover Bar HWM Facility and Ellerslie Site Remediation	Construction and commissioning of this hazardous waste management facility is complete. Remediation and post decommissioning monitoring of the former Ellerslie Waste Management Facility site still required.	645	13,360,876

ECO Centre - Devonian Botanic Garden	New facility to allow Devonian Botanic Garden (DBG) to open year-round and support community outreach. Addition of parking lot and sound walls, as well as a new formal gate. The university is targeting \$10 million of additional support through fundraising.	3,861	39,867,130
Heating Plant – Boiler #7	Purchase and installation of new boiler required to ensure plant reliability. About 50 percent of the plant’s boiler capacity is close to 40 years old.	N/A	38,143,146
Michener Park Family Housing	Renewal of all building systems for row houses, walk-ups, high rise, and supporting infrastructure. Equity requirement for attainable rate structure.		30,000,000
Pedway – Underground 115 Street & 87 Avenue	Construction of an underground pedway to allow easy and safe access between the Physical Activity and Wellness Centre and the Edmonton Clinic Health Academy. This will finalize the connection of the Health Sciences precinct to the campus north of 87 th Avenue.	N/A	9,638,148
Physical Activity and Wellness (PAW) Centre	Construction of an addition and upgrades to the physical education and fitness centre for use by the entire campus community and for more efficient placement/expansion of services. The university expects to contribute an additional \$42,500,000 from various sources.	6,500	14,500,000
School of Business Building/Social Sciences Departments	Development of a building for the School of Business in a partnered opportunity with private sector. A building for the School of Business would facilitate accommodation of the backfill requirements of the social sciences and support their growth needs. The social sciences are currently experiencing significant shortfall of space.	27,000	190,000,000
South Campus – Infrastructure for Shared Use Facilities	New infrastructure to support the development of the NE sector of South Campus – deep sewer, water supply, road lighting, and improvements specifically to support the siting of community complexes on campus. Work has proceeded in support of projects and timelines to accommodate Federal Grant timing.	N/A	6,745,087
South Campus – Utility Infrastructure	Initial Infrastructure to provide first phase of utility and services in support of campus growth and accommodate infrastructure located on adjacent GoA land. (could also be provided through a P3 model)	N/A	127,143,820
Student Housing	Development of 500 to 700 additional bed spaces to enhance the university’s ability to accommodate projected growth over the long term. The request represents a cost of \$117,000 per bed (750 bed spaces) with an equity component of 50 percent.	32,900	43,500,000
Total			\$1,056,823,521

Institutional Budget, 2012-13

Introduction: Alignment with Alberta's Priorities

In the last decade, the province has emerged as an undisputed leader on the national stage—and is poised to become a significant player on the international stage as well. In today's financial climate, in which world economies, particularly those within the European Union, are highly volatile, Alberta has come through the economic crisis in relatively good shape. Why is Alberta in this enviable position, even as the global community continues to face further economic difficulties?

The short answer is that we are blessed with natural resources that the rest of the world wants and needs, but, in truth, the explanation for the province's current prosperity is not so simple. Alberta's vast natural resources are a gift, yes, but making them into viable, thriving industries has required enormous long-term planning, investment, and talent. As has been stressed throughout this Executive Summary, U of A has been a critical part of building Alberta's prosperity for more than a century, educating engaged, intelligent, capable, innovative, and productive citizens. The university has also been the source of world-class expertise in agriculture, a range of environmental sciences, energy, medical and biotechnology, nanotechnology, information and communications technology, in addition to feeding Alberta's excellent public service, vigorous music, theatre, literature, and visual arts scene, and diverse social make-up.

Alberta can build upon this strength and invest in highly skilled and talented people to position Alberta for economic growth. To sustain a strong and vibrant economy, Alberta's future depends on continued growth in key sectors of energy, agriculture, education, information and communications technology, and health. Albertans must continue to engage and contribute to the future of their province through creativity, innovation, cultural and social initiatives and further education. Knowledge, creativity, innovation, and entrepreneurialism are the new global currency. Alberta needs highly skilled people, with the capacity to generate social, technical and scientific innovations. The provincial government must make strategic decisions about its level of investment in the post-secondary sector to meet the future needs of all Albertans.

In the absence of any new investment by the provincial government in the way of increases to the university's Campus Alberta Grant, the 2012-13 fiscal year will present the university with a number of budgetary and operational challenges. Two consecutive years of no increases to the Campus Alberta Grant have started to impact the university. To avoid any substantial impact on the capacity of the university to fulfill its core mission of teaching and research, a return to annual increases to the Campus Alberta Grant is essential. Over the past two years with no base funding increases, the university has eliminated vacancies and in some cases reduced staff complements. The university's ability to offer world-class teaching and research will be impacted if this trend continues.

In 2011–12, the university took steps to minimize the negative effects of receiving no increase to the Campus Alberta Grant. This included an average two percent budget re-allocation across the institution and a continuing focus on achieving administrative efficiencies. Without new levels of government investment at a minimum of a four percent increase to the operating grant, a minimum two percent budget re-allocation will be required within the university's 2012-13 budget.

University Budget

In 2011, the Public Sector Accounting Board (PSAB) issued a financial reporting framework for government not-for-profit organizations. This framework will apply to all institutions controlled by the government of Alberta, which includes post-secondary institutions. While this change will affect the

university's financial reporting and budgeting it will have little impact on day-to-day operations across faculties and units.

Some of the key changes under this new reporting framework include:

1. Reporting of expenses: Expenses will be reported by function such as academic instruction or administration, rather than by categories such as salaries, benefits and supplies.
2. Investment Income: Unrealized gains and losses will no longer be recognized in the statement of operations.
3. Budget Reporting: Budget information will be presented in the financial statements.

In the development of the budget, every attempt was made to conform to the new PSAB standards and frameworks currently being finalized by Advanced Education and Technology (AET); however, because the transition to PSAB is not yet complete, budgets may be revised or restated in the future to align with the updates to new framework.

Consolidated Budget

Prepared under Canadian Generally Accepted Accounting Principles (GAAP), the University of Alberta's 2012-13 consolidated budget reflects the entire enterprise of unrestricted and restricted funds. This includes general operations, research activities, capital projects, and ancillary operations.

For 2012-13, the budget represents a deficiency of revenue over expense of \$15.9 million. Factors contributing to this include: limited increases in provincial funding, only modest recoveries to investment income, costs to support investments in salaries and benefits, increasing costs of utilities (energy prices) and general inflationary cost pressures. In addition, the deficiency is driven by the amortization of capital expenditures in the operating accounts. Previously, amortization of capital was offset by additional sources of revenue. The amortization of capital is now an issue because overall capital funding is lower than in previous years, the university is receiving less in the way of interest income, and the impact of insufficient increases to the university's operating grant.

In order to balance the 2012-13 consolidated budget the university would require an additional 2.5 to 3 percent decrease in its operating budget over-and-above the current budget re-allocation of two percent. The university does not believe that it is prudent to reduce the operation budgets at this time in order to offset the capital amortization expense and balance the consolidated budget, particularly in a year when the university's interest income is far below normal levels given the current economic situation. The university fully acknowledges that deficiencies in the consolidated budget are not sustainable in the long run. A return to normal levels of interest income and annual government grant increases at a level to offset expenditures, and effective planning over the next year will enable the university to bring the consolidated budget back into balance for 2013-14.

Revenue and expense details are presented in table 7.1. Please note that the projected deficiency excludes an estimated \$1.4 million provision for the university's share of the Universities Academic Pension Plan (UAPP) unfunded pension liability expense. The provision represents the 2012-13 allocation of the net actuarial losses on the accrued benefit obligation which are being amortized over the expected average remaining service life of the employee group.

The statement of financial position and statement of changes in net assets is presented in the Appendix.

Table 7.1 Consolidated Budget, 2012-13 (\$'000)

	2011-12		DRAFT Budget 2012-13	Projections		
	Budget	Forecast		2013-14	2014-15	2015-16
Revenue:						
Provincial government	752,660	774,363	771,203	786,607	794,071	799,979
Federal and other government	180,292	162,571	177,358	172,312	177,309	182,950
Student Tuition and Fees	246,916	249,269	277,728	291,173	305,226	307,839
Grants and donations	102,116	83,802	89,856	88,711	90,732	93,671
Investment Income	57,986	10,034	49,597	55,562	60,171	63,420
Sales of services and products	214,394	218,357	219,488	212,079	207,275	211,096
Amortization (deferred capital contribution)	104,925	105,312	117,796	120,829	123,262	125,793
Total Revenue	1,659,290	1,603,707	1,703,026	1,727,273	1,758,045	1,784,748
Expense:						
Salaries	807,061	815,605	838,528	854,814	875,654	903,226
Employee benefits	160,406	156,969	169,096	186,218	200,003	215,079
Materials, Supplies and Services	325,375	312,733	322,381	325,360	334,789	347,357
Maintenance	69,682	79,049	70,881	70,046	70,889	71,965
Utilities	48,795	44,411	51,214	52,883	54,601	58,786
Scholarships and Bursaries	87,948	89,578	92,772	96,497	100,274	104,222
Amortization	158,123	159,489	174,085	178,762	182,902	187,211
Total Expense	1,657,390	1,657,834	1,718,957	1,764,579	1,819,112	1,887,846
Excess of Revenue Over Expense	1,900	(54,127)	(15,930)	(37,306)	(61,067)	(103,098)
Transfer from Endowment	-	35,680	-	-	-	-
Investment in Capital Assets	(26,161)	(25,640)	(42,412)	6,175	16,153	17,357
Increase (decrease) for the Year	(24,261)	(44,086)	(58,343)	(31,131)	(44,913)	(85,741)
Unrestricted Net Assets (deficiency), Beginning of Year	(60,646)	(3,536)	(50,691)	(110,386)	(141,105)	(186,018)
Universities Academic Pension Plan	(3,276)	(3,068)	(1,352)	412	-	-
Unrestricted Net Assets, End of Year	(88,183)	(50,691)	(110,386)	(141,105)	(186,018)	(271,759)

* Due to the timing of budget development relative to implementation of the new framework, the budget may be revised, or restated, to ensure alignment with the framework.

Consolidated Revenues

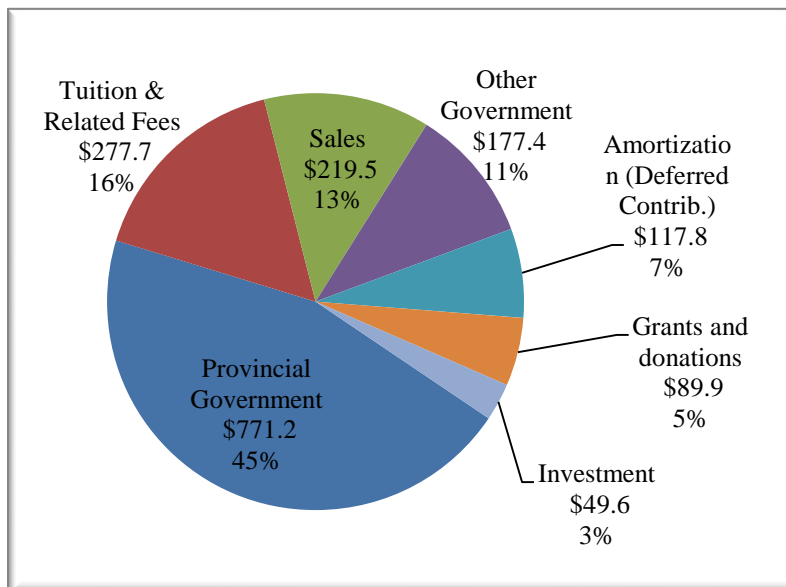
Budgeted revenue for 2012-13 is \$1,703 million. As illustrated in Figure 7.1 forty-five percent of this comes from the Province of Alberta, mostly through the Campus Alberta Grant and sponsored research.

Tuition and related fees is budgeted at \$278 million and is the second largest source of revenue. This includes all instructional fees, market modifiers, and non-instructional fees. These revenue sources are effectively part of general operations and are discussed in greater detail in the section below discussing the operating budget.

Sale of products and services represents thirteen percent of total revenue, or \$220 million. This is primarily derived from ancillary operations such as residence services, the bookstore, parking, and food services. These revenues also come from operating activities across all faculties and units. Examples of this include sales associated with physical education and recreation activities (passes, camps, etc.), medical clinical assessments, and rental of equipment.

For the 2012-13 fiscal year, investment income is budgeted at almost \$50 million. While this represents only three percent of consolidated revenues it remains an essential, yet volatile, source of revenue for the institution. This year's projection continues to reflect the poor performance in the equity markets and a continuation of historically low interest rates.

Figure 7.1 Consolidated Revenue, 2012-13, \$1,703 million



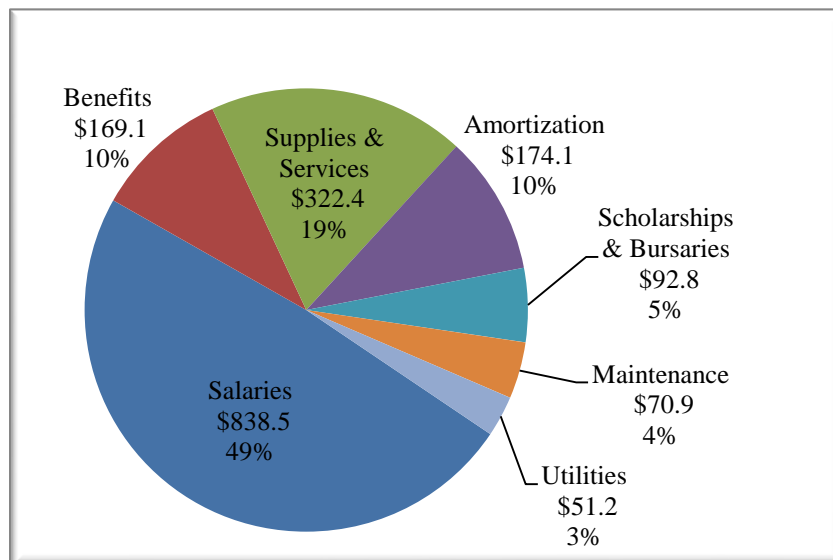
Consolidated Expense

For 2012-13, consolidated expense is budgeted at \$1,719 million. Compared to the prior year's budget, it is approximately 3.6% higher. As figure 7.2 illustrates, investments in salaries and benefits to maintain teaching, research and other critical activities account for fifty-nine percent of total expense.

The next largest expense is for materials, supplies and services. Budgeted at \$322 million these expenses provide essential supports across campus from information systems/technology, and library resources to day-to-day operations such as insurance premiums, communications, and classroom maintenance.

Also a significant expense in the consolidated budget is \$174 million for the amortization of capital assets. Under Canadian GAAP, amortization recognizes the useful life of an asset, specifically the reduction in its useful life through an annual expense. This would represent assets such as buildings, scientific and computing equipment, software, and learning resources.

Figure 7.2 Consolidated Expense, 2012-13 \$1,719 million



At the consolidated level, utility expenses include the provision of utilities not only for the university's core teaching and research activities, but also the university's ancillary operations and third party organizations, including Alberta Health Services, Canadian Blood Services, and the Jubilee Auditorium.

Operating Budget

The operating budget covers the day-to-day operations associated with teaching, administrative support, facility operations and maintenance for classrooms and buildings. The university continues to strive for a balanced approach in maintaining the quality of the teaching environment, maximizing the use of resources and continually striving for administrative efficiencies. However, the budget re-allocations that have been applied over the last three years have had an impact on the institution and have reduced the university's capacity to fulfill its mission. Faculties and units across the institution are losing capability through the elimination of vacancies, the loss of staff positions, and limited resources to recruit new faculty and staff. In an effort to maintain a reasonable balance between fiscal responsibility and any

further loss of capacity across the institution, the university is budgeting for a deficit of \$5.6 million in 2012-13.

Table 7.2 Operating Budget, 2012-13 (\$'000)

	2011-12		DRAFT Budget 2012-13	Projections		
	Budget	Forecast		2013-14	2014-15	2015-16
Revenues:						
Provincial Government	581,513	585,287	593,050	593,050	596,210	596,315
Other Gov't, Donations & Grants	-	-	6,810	6,946	7,085	7,227
Tuition Fees	192,173	195,111	222,636	234,971	247,894	249,346
Non-credit Fees	42,298	41,329	42,109	42,961	43,837	44,739
CoSSS Fee	10,676	11,010	11,193	11,417	11,645	11,878
Investment Income	22,751	9,223	11,104	15,513	18,550	20,116
Sales of Products & Services	52,651	60,029	63,530	64,600	65,691	66,804
Total (Revenue)	902,061	901,990	950,431	969,457	990,911	996,426
Expenditures:						
Salaries	575,729	579,064	602,379	621,596	644,337	668,345
Benefits	127,383	120,098	133,861	151,465	165,807	180,347
Utilities	42,162	38,117	44,735	46,180	47,697	51,644
Materials, Supplies & Services	78,367	77,823	80,232	81,051	85,580	88,652
Repairs & Maintenance	22,973	26,800	25,742	26,227	26,722	27,226
Scholarships and Awards	27,621	34,100	35,179	36,391	37,471	38,334
Capital Acquisitions	32,677	33,141	33,441	33,473	33,808	34,146
Total (Expenditures)	906,913	909,144	955,569	996,384	1,041,422	1,088,694
Surplus (Deficit)	(4,852)	(7,154)	(5,138)	(26,926)	(50,510)	(92,268)

* Due to the timing of budget development relative to implementation of the new framework, the budget may be revised, or restated, to ensure alignment with the framework.

Operating Revenue

Budgeted revenue for 2012–13 is \$950.4 million, compared to a forecast of \$901.9 million for 2011-12. Key highlights from the 2012–13 revenue budget are:

- A two percent increase to the base Campus Alberta Grant.
- Roll-in of government enrolment adjustment funding from 2011-12
- Inclusion of federal government funding in the way of a grant from Canadian Heritage
- Adjustment to reflect gross tuition revenue versus net tuition revenue
- 1.45 percent increase to credit tuition fees
- Continued roll-in of market modifier tuition
- Lower investment income due to market conditions
- Elimination of unrealized investment gains and losses

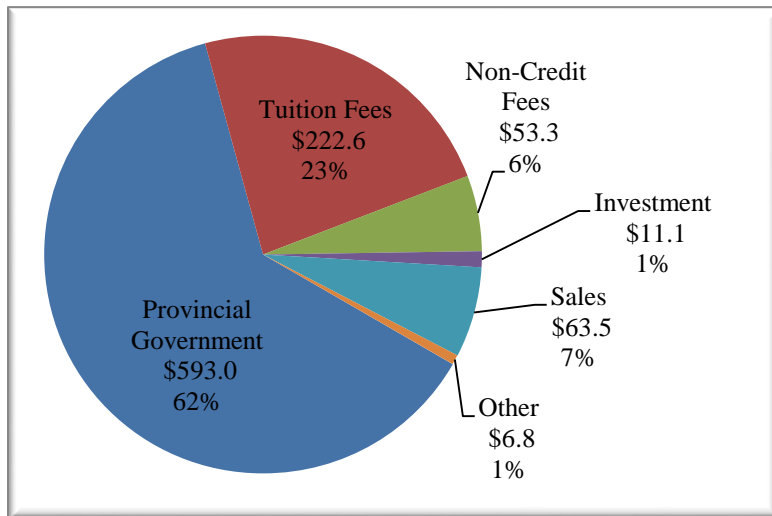
- Continuation of the Common Student Space, Sustainability and Services (CoSSS) fee
- A two percent budget re-allocation across the university

As illustrated in figure 7.3, the base Campus Alberta Grant is the primary funding source of the operating budget. For 2012–13 the university is budgeting for a two percent increase to the grant, which is approximately \$11.6 million.

Although the university acknowledges the importance of this grant increase, a two percent re-allocation in budgets will still be required to achieve budget targets. This represents the fourth consecutive year that the university has instituted budget re-allocations which cumulatively place large budgetary pressure on the university. In addition, the absence of a four percent increase to the Campus Alberta Grant reduces the purchasing power of the institution due to inherent increases in fixed costs, particularly from inflationary and related pressures.

The university has also budgeted \$6.8 million for 2012-13 in other government funding which consists primarily of federal grant funding from Canadian Heritage under its official language support programs.

Figure 7.3 Operating Revenue, 2012-13, \$950.4 million



The second largest source of operating revenue comes from tuition and other related fees. In the last several years, the way in which tuition revenue is calculated has gained complexity at the university. In addition to base tuition, the university has international fee differentials, program fee differentials, market modifiers, grand-parenting provisions, and a new tuition model for graduate students. At the same time, consistent with the goals of its academic plan, the university is experiencing a shift in student enrolment towards increasing the number of graduate students and international students. These changes have required significant enhancements to the forecasting model used by the university to calculate tuition revenue. Starting in 2012-13, as part of the new methodology in budgeting for tuition as well as the application of the PSAB standards, tuition revenue will be budgeted as gross tuition revenue instead of net tuition revenue. This will improve quarterly reporting of actual tuition revenues against budget and increase the transparency in reporting of tuition revenue. Budgeting tuition at gross tuition level results in a significant increase in budgeted tuition revenue for 2012-13 compared to the 2011-12 estimated actuals. This increase in budgeted tuition revenue is offset by corresponding increases in the various expenditure lines. For 2012-13, tuition and fee revenue including the CoSSS fee is budgeted at \$275.8 million, or 29 percent of total revenue.

Tuition revenue for 2012-13 also reflects the continuing change in the university's student mix and a 1.45 percent tuition increase for 2012-13, which is in alignment with the maximum allowed under the provincial Tuition Fee Regulation. The regulation limits annual tuition increases to the Alberta consumer price index (CPI). In seeking Board of Governors' approval for the increase, consultations were held with students primarily through the Budget Advisory Committee, which has senior representation from the Students' Union, the Graduate Students' Association, and university administration.

The university has not budgeted for any new "lights on funding" for 2012-13 as no new buildings are opening in that fiscal year. However, the university is forecasting "lights on funding" in future years as new buildings such as the Interdisciplinary Centre for Engineering become operational in 2014-15.

Other major sources of operating revenue include investment income and sales of products and services. Investment income for 2012-13 has been budgeted at \$11.1 million significantly lower than the 2011-12 approved budget and marginally higher than the 2011-12 estimated actuals. Low interest rates continue to be driven by weak global economies and substantial uncertainty in the European markets. Some growth in investment income is forecast in future years based on the assumption of modest improvements in interest rates. Sales of products and services are budgeted to increase to \$63.5 million.

Operating Expenditures

Operating expenditures are budget at \$955.6 million for 2012-13. With limited revenue growth and rising teaching and related costs such as contractual obligations, library acquisitions, and information technology; the university continues to manage resources carefully while facing significant challenges. In 2012-13 the university will be entering its fourth consecutive year of budget re-allocations. The impact of these budget re-allocations has been to eliminate any flexibility in the university's operating budget which will reduce the university's capacity to fulfill its core mission of teaching and research. With a proposed two percent budget re-allocation planned for the 2012-13 budget in addition to previous budget re-allocations, the capacity and quality of academic programs and the ability of administrative units to support academic operations may be negatively impacted.

Key highlights from the 2012-13 expenditure budget include:

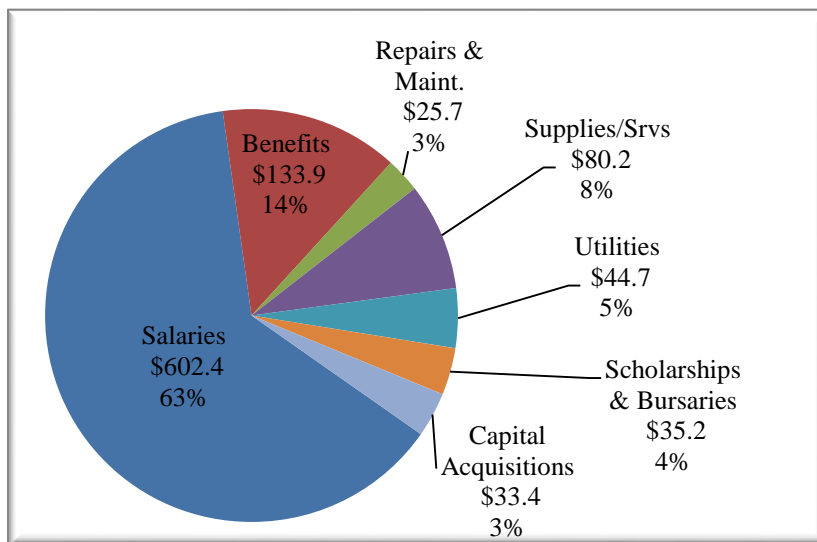
- Growth in salaries and benefits driven by salary settlements and benefit cost increases
- Relatively stable utility expenditures
- Modest growth in scholarships
- All other expenditures stable or marginally reduced
- A two percent budget re-allocation across the university

As illustrated in figure 7.4, seventy-seven percent of operating expenditures, or \$736.1 million, are spent on salaries and benefits for faculty and staff—an expense which is essential in providing a high-quality learning environment. Overall, salary and benefit expenditures are higher than last year. The growth is driven by negotiated salary settlements, the awarding of merit, the inflationary pressures of statutory and non-statutory benefits, and budgeting for the introduction of a provincial health care payroll tax. Increases in benefit costs year over year ranged from a low of one percent to a high of 15 percent for pension plan contributions. The dramatic increases in pension plan contributions present a fundamental risk to the university. For the first time, in 2012-13 pension benefit contributions will represent just over 50 percent of the total benefit plan costs, with contribution rates forecast to continually increase over the next three years.

In addition to labour costs, the purchase of materials, supplies, and services accounts for 8.3 percent of total operating expenditures in 2012-13. This \$80.2 million represents a modest increase in budget from 2011-12. Examples of these expenditures include purchases related to risk management, such as insurance premiums and hazardous waste disposal, the purchase of teaching lab equipment, and contracts for cleaning services. Scholarships and bursaries have remained stable over the last two years and will increase marginally going forward with the continued implementation of the market modifiers and the resulting commitment to invest 20 percent of revenue in student support. It is important to note that, despite four consecutive years of budget re-allocations, scholarship budgets have increased.

In the absence of a minimum four percent grant increase, and with conservative assumptions regarding increases in major expenditure categories, the university's operating budget will immediately reach unsustainable deficit levels within its operating budget. For example, assuming no grant increase beyond 2012-13 and factoring in all other revenue and expenditure forecasts, coupled with the impact of compounding, the university will reach an unsustainable operating budget deficit of over \$90 million in four years. This problem can only be resolved through increases to the university's operating grant at a minimum of four percent or dramatic budget cuts across the institution.

Figure 7.4 Operating Expenditures, 2012-13, \$955.6 million



Budget Assumptions and Sensitivities

The university prepares its budgets using a comprehensive integrated planning and budget process involving key stakeholders from across the institution. The key budget assumptions and sensitivities are cornerstones of the university's multi-year budgeting process. The goal is to achieve improved accuracy in forecasting elements of the budget and provide common assumptions for budget planners across the university.

At this time, the university has planned for no increase to the operating grant beyond 2012-13. This is unsustainable given current assumptions in increases to expenditures. Funding that remains constant is in effect a reduction to the university and will have significant repercussions across the institution. To prevent these negative repercussions, the university must obtain a grant increase of at least four percent to

the annual base operating grant, with a corresponding commitment to maintain these increases over at least a three year period.

Future tuition increases must adhere to the forecast of the Alberta CPI as stipulated in the tuition fee regulation. Tuition increases over the next three years are therefore forecast at 2.2 percent. Short-term interest rates are forecast to remain stagnant for 2012-13 with marginal increases in future years. For 2012-13, the university has budgeted short-term interest rates at 1.15 percent, with rates increasing to 2.15 percent by 2015–16.

On the expenditure side, the university's agreement with AASUA extends to 2012-13 with a negotiated across the board increase of two percent. The current wage re-opener agreement with NASA concludes at the end of fiscal 2011-12 with a new salary agreement to be negotiated in 2012-13. As noted earlier, approximately 77 percent of the university's operating expenditures are allocated to salaries and benefits. As an organization driven by its human capital, any variance in salary and benefit costs has a significant impact on the university's total operating expenditures.

The university's operating budget is dependent on support from the provincial government through increases to the Campus Alberta grant particularly given the limited ability to generate other forms of operating revenue. Even a two percent grant increase, although of significant assistance to the university, will not prevent further budget re-allocations across the university. As such, the budget has been developed based on the implementation of a two percent budget-reallocation for 2012-13.

Budget Sensitivities

Revenue Approximate Value

1% on Campus Alberta Grant: \$5.9 million
0.25% on Short-term Interest Rate: \$1.5 million
1% Increase on Credit Tuition: \$2.2 million

Expense

1% Increase in Salary Settlements: \$4.5 million
\$1/GJ Increase on Natural Gas: \$2.6 million (ancillary budget)
1% Operating Budget Reduction: \$6.1 million

Institutional Budget Risks

Sustainable funding from the government in support of the university's mandate of teaching and research continues to be the university's major budget risk. The cumulative effect of consecutive years with no increases to the operating grant has already resulted in substantial budget re-allocations. Without adequate investment going forward, the ability of the institution to provide a high quality educational experience and fulfill its research mission is at risk.

Specific factors adding financial risks to the university include the following:

- Next to the Campus Alberta Grant, tuition is the second largest source of unrestricted funding for the operating budget. Legislative constraints on annual tuition increases prevents the university from responding to market conditions and, aligning tuition levels with its key competitors and recognizing the higher costs of program delivery in specific faculties.
- The impact of realignment of provincially funded research and innovation organizations into

Alberta Innovates, particularly as it relates to the former Alberta Heritage Foundation for Medical Research (AHMFR) has placed capacity constraints on the Faculty of Medicine and Dentistry. Although the transition funding was of critical importance, the funding was only one-time. As such, during the period of this transition funding, the net impact on the university is a reduction in faculty positions and in overall capacity. This is due to the fact that some positions will not be refilled once the one-time funding expires or faculty will be moved into vacancies, eliminating the opportunity to recruit other faculty to those vacant positions.

- The Canada-U.S. exchange rate will have both an upside and downside risk to the university. The upside risk will be in lower costs for such things as library materials and some lab equipment if the Canadian dollar remains close to par. Conversely, given that almost half of the university's endowment investments are denominated in foreign currencies, the high Canadian dollar will reduce potential investment returns.
- Short and long-term interest rates, are affected by fluctuations in credit conditions, economic events, inflation expectations and the Bank of Canada's monetary policy. There is significant risk of continuing low interest rates.
- The greatest forecast risk associated with expenditures is salaries. The NASA agreement is open for negotiation in 2012-13. Any settlement beyond the assumptions in the budget will result in greater deficit pressures on the operating budget.
- The continuing increase in pension plan contributions represents a significant risk to the university. Without structural reforms to the pension plans, the level of pension plan contributions as a percentage of total benefit costs will be unsustainable.
- In the past, utilities represented a significant expenditure risk due to rapidly rising natural gas prices. More recently, as natural gas prices have moderated, the forecast risk to the university is lower than in previous years.

Capital and Ancillary Budget

Capital

The university's 2012-13 consolidated budget reflects \$200 million in capital expenditures. This includes projects underway or proceeding and annual capital programs in support of health and safety, energy management, building systems, renovations and site replacement and/or upgrading.

Capital projects ultimately support the university's academic plan and are in alignment with the goals and objectives within the Comprehensive Institutional Plan. They also align with provincial priorities in addressing space and program needs, and focuses on renewal and preservation of facilities. Further, these projects have been approved through the university's capital expenditure authorization request policy and, as required, approved by the Board of Governors.

Table 7.3 lists the projects for 2012-13, including as major initiatives the Edmonton Clinic Health Academy, which is nearing completion, the Innovation Centre for Engineering, and the Physical Activity and Wellness Centre. In total, approximately \$174 million is budgeted in 2012-13 from funding provided through a variety of external and internal sources. Similarly, the budget includes almost \$26 million for annual capital programs. This includes \$22 million in funding from the provincial infrastructure maintenance program (IMP) which is assumed to continue in the upcoming year.

In addition to approved projects, there are a number of priority capital projects around pre-design and

renewal that require funding (see table 6.1). Additional information on the university's capital plan is contained in Chapter 6 of this document.

Table 7.3 Capital Expenditures & Budget

	Actuals to Date (prelim)	+	2012-13 Recommended Budget	+	Forecast to Complete	=	Total Approved Project Budget
Capital Projects (underway or proceeding):							
Agric Research Infrastructure - St Albert & Kinsella	4,500		5,500		2,000		12,000
Balmoral Centre – ERC/ Cyclotron	6,000		15,000		-		21,000
CCIS Phase Two	464,015		2,000		-		466,015
Chemical Materials Eng. -Phase 1 Functional Renewal	36,950		-		-		36,950
Chemistry West Building Systems Modernization	18,330		-		-		18,330
Dentistry Pharmacy Redevelopment	-		3,500		1,200		4,700
Devonian Botanic Garden – Infrastructure Upgrades	-		8,000		5,000		13,000
Edm. Clinic Health Academy	376,300		30,000		-		406,300
Edm. Clinic Health Acad. (South - Dental Operatories)	2,594		-		-		2,594
HM Tory - Phase 2 Building Systems Upgrade	6,413		1,591		-		8,003
HRIF Project (Li Ka Shing / Katz Group) Base Bldgs	236,245		-		-		236,245
HRIF Project (Li Ka Shing / Katz Group) Fit Outs	102,660		3,000		-		105,660
HRIF Project (CTRIC cGMP Fit Out - Li Ka Shing L7)	2,658		7,942		1,400		12,000
Innovation Cntr for Eng. (ICE) (formerly CME Infill Tower)	33,612		50,392		5,756		89,760
Pharmacy Fit Up	31,431		12,000		1,000		44,431
Physical Activity & Wellness Centre (PAWC)	3,100		27,000		29,900		60,000
Scientific Support Facilities	44,524		1,500		-		46,024
South Campus Infrastructure - Phase I	3,050		1,500		-		4,550
Utilities - North Campus Expansion	81,000		-		-		81,000
Other Capital Projects	9,456		5,405		-		14,861
Total	1,462,838	+	174,330	+	46,256	=	1,683,424
Annual Capital Programs:							
Infrastructure Maintenance Program			22,000				
Energy Management			3,904				
Total			25,904				
TOTAL			200,234				

* The Capital Budget was finalized on October 31, 2011 and contains values which may not align with or may not include projects identified in the 2011-2015 Capital Plan.

Ancillary Services

The major units within Ancillary Services include Residence Services (Student and Staff Housing, Residence Life programs), Hospitality Services (Contract Services, Vending, Conference Services and Guest Accommodations), Operations (Parking Services, ONEcard, Managed Print Services, Information Systems Services and Finance groups), and Real Estate and Property Management Services. Ancillary Services also manages the university's day care liaison function.

The student residences and commercial properties (HUB mall, Newton Place) are all close to maximum capacity. Parking demand, which decreased by approximately 5% between October 2009 and 2010 due to the successes of the Travel Demand Management (TDM) program, has stabilized among university clients, but continues to soften among non-university personnel (contractors). Conference Services has completed a comprehensive review of its operations and Residence Services has commenced a review of its administrative operations.

Ancillary Services completed a number of initiatives in 2011 – 2012 including:

- A comprehensive analysis and unit review of Conference Services.
- Renovation of administrative office space in Lister Hall to optimize delivery of critical student programs and services.
- Execution of a new contract with Aramark for the provision of food services.
- In collaboration with Aramark executed over \$5 million of renovations and expansions to food services facilities in Lister Hall and other locations.
- Implemented a new 3-year Meal Plan program in Lister Hall.
- Expansion of point of sale (POS) machines across all Aramark serviced food locations on North Campus.
- Installation of a new housing management software solution (CBORD).
- A comprehensive analysis of modernization options for Lister Hall and HUB residences.

Major risks to Ancillary Services include:

- Deferred maintenance risk at Michener Park residence.
- Continued deferred maintenance challenges in the older ECV residences, the overall level of deferred maintenance in other residences, and the need for modernization and functional renewal.
- Inflation of some operating costs (labour, maintenance, construction) will exceed CPI (this year 1.66 percent), as per institutional Budget Planning Document forecasts.
- Continued impact of the current economic climate on conference activity.
- Parking Services is completing a comprehensive allocation and delivery plan aligned with the anticipated client environment to mitigate future revenue risks.
- Managed Print Services will continue to see decreasing revenue streams in external photocopying due to technology changes. This decrease is expected to be offset by increases in integrated printing services revenues.
- Residence rent rates and parking rates are in many cases at or near market, reducing flexibility with respect to additional revenue generation.

Housing and Food Services

On December 12, 2011 the Board approved a residential rate increase of 1.66 percent on all of its campuses, including Augustana. All rate increases will be effective May 1, 2012. Residence rent

increases are required to offset increases in salary and benefit costs for the residence operation, general inflationary pressures, and to address deferred maintenance issues, several of which have direct health and safety implications, or projects which offer the opportunity to reduce energy consumption. The following table provides examples of market adjustments for 2012-13 by residence.

Rental Rates by Residence, 2012-13

Residence/Unit	Effective May 1, 2012
Augustana (double room)	\$315
East Campus Village Apartments (2 Bedroom)	\$623
East Campus Village Houses	\$415 - \$1019
Residence Saint-Jean	\$587
HUB (2 Bedroom)	\$581
Lister (Double, 8 months)	\$350
Michener (2 Bedroom Row House)	\$806 - 874
Newton (1 Bedroom)	\$959 - \$1034
Schaffer (Single)	\$658

The University of Alberta currently has 4,694 residence bed spaces for approximately 12.5 percent of the total student population including Augustana Faculty (11.3 percent excluding Augustana).

Dining Services will enter year two of a three-year meal plan program approved by the Board in December 2010. Conference Services is developing implementation plans for a number of initiatives recommended in its recently completed operational review.

Parking Services

On December 12 2011, the Board approved parking rate increases of 1.66 percent for monthly and annual rates. Visitor rates were proposed to remain unchanged for 2012-13. All rate increases will be effective April 1, 2012.

Parking Services capital reserves will continue to grow in anticipation of South Campus development and other capital and maintenance priorities.

Table 7.4 Ancillary Budget, 2011-12 (\$'000)

	2011-12		2012-13	2013-14	2014-15	2015-16
	Approved Budget	Estimated Actuals	Recommended Budget	Forecast	Forecast	Forecast
Augustana: Residence, Conferencing, and Food						
Revenue - Internal	48	54	49	50	52	53
Revenue - External	2,819	2,830	2,890	2,955	3,029	3,121
Total Revenue	2,867	2,884	2,939	3,005	3,081	3,174
Reserve Balances:						
Operating Closing Balance	1,000	1,000	1,000	1,000	1,000	1,000
Capital/Maintenance Closing Balance	2,691	2,901	2,767	2,844	2,927	3,025
Bookstore						
Revenue - Internal	3,760	3,212	3,700	4,000	4,000	4,000
Revenue - External	26,930	23,815	24,481	25,000	25,500	26,000
Total Revenue	30,690	27,027	28,181	29,000	29,500	30,000
Reserve Balances:						
Operating Closing Balance	(251)	335	(196)	(387)	(398)	(412)
Capital/Maintenance Closing Balance	-	(2,076)	(1,880)	(1,493)	(1,095)	(683)
Ancillary Services*						
Revenue - Internal	3,675	3,892	3,893	3,982	4,048	4,348
Revenue - External	51,918	50,743	51,570	53,250	54,715	56,837
Total Revenue	55,593	54,635	55,463	57,232	58,763	61,185
Reserve Balances:						
Operating Closing Balance	(2,471)	(297)	(2,030)	(1,640)	530	4,162
Capital/Maintenance Closing Balance	11,553	12,611	15,174	18,579	21,906	24,847
University Health Services						
Revenue	5,463	5,743	5,677	5,758	5,829	5,901
Reserve Balances:						
Operating Closing Balance	429	0	353	41	0	74
Capital/Maintenance Closing Balance	170	0	200	200	58	58
Utilities						
Revenue - Internal	69,182	68,985	72,949	76,722	80,704	85,782
Revenue - External	20,029	19,880	21,507	22,502	23,621	25,254
Total Revenue	89,211	88,865	94,456	99,224	104,325	111,036
Reserve Balances:						
Operating Closing Balance	2,865	9,566	9,566	9,566	9,566	9,566
Capital/Maintenance Closing Balance	16,740	19,147	19,147	19,147	19,147	19,147

TOTAL REVENUE	183,824	179,154	186,716	194,219	201,498	211,296
Reserve Balances:						
Operating Closing Balance	1,572	10,604	8,693	8,580	10,698	14,390
Capital/Maintenance Closing Balance	31,154	32,583	35,408	39,277	42,943	46,394

*Ancillary Services includes: Enterprise Square, Commercial Property, Parking Services and Housing & Food Services

Resource and Risk Implications (compiled)

As the University of Alberta's short-term operational and long-term strategic plans are inextricably linked the university has identified both immediate and long-term resource implications. Immediate resource implications directly support academic and research priorities as identified in the academic chapter of this document.

In every case, where resource implications are identified, the first course of action by the university has been to determine if and how existing resources can be better leveraged, re-allocated or re-purposed. This also includes any new resources the university can bring to bear through partnerships and other initiatives before consideration is given to requesting funding from government.

At the same time, driven by *Dare to Discover*, the university has identified a series of resource requests that are linked to our role as Alberta's flagship university, and its responsibility in providing comprehensive and diverse educational choices that prepare Albertans for citizenship in the world and address Alberta's need for undergraduate and graduate students who will contribute to the economic, social and cultural prosperity of tomorrow. Resource implications are also identified which will facilitate connection to international communities, enabling the U of A to undertake world leading research and create innovative research agreements that will link researchers, graduate and undergraduate students, international foundations, industry and government.

Immediate Resources Implications

The university must not lose the momentum gained during previous years of growth in government funding which enabled strategic investments in students, staff, programs and infrastructure. The U of A has always been committed to maximizing the use of its resources, directing its resources to its academic priorities, and continually investigating and implementing administrative efficiencies. However, there are core areas across the university that require continuing investments, most importantly our people, but also fundamental areas that contribute to the quality of the learning experience such as information technology and libraries. A two percent grant increase will not be sufficient when factored against general inflationary pressures in the areas of contractual obligations, benefits, and other costs drivers.

- ❖ **Annual grant increases of at least four percent to continue to fulfill its academic mandate, meet the needs of Albertans, and prevent the erosion of invaluable progress made over the last several years. To assist in planning, a commitment of at least three years to this level of increase is also required.**

Resource Implications: Access

In the Academic Overview chapter, five themes associated with access and quality are outlined. These themes are: quality (people, programs, and experiences); the learning environment; student experience and engagement; innovative programming; and connections and collaborations. The cornerstone of all of these themes is people. The University of Alberta is its people – professors, undergraduate and graduate students, postdoctoral fellows, as well as the technicians and staff who provide an extensive range of essential services that support our core mission.

Access Theme I: Quality

Quality is central to access and programming. Top-quality professors and administrators help to renew and design high quality, innovative programs that serve to entice, excite, attract, and retain quality

undergraduate and graduate students. We aim to provide high-quality student experiences that are life altering, resulting in graduates who are engaged citizens prepared to contribute to the social and economic well-being of the province, and to do their part in fulfilling the U of A promise to uplift the whole people. Fundamental to the university's promise to uplift the whole people is our aim to provide access to students from underserved populations and Aboriginal students.

- ❖ **\$5.7 million base funding which includes scholarships and support service for students recruited from underrepresented populations, an expansion to the Augustana Faculty rural summer internship programming and Aboriginal student recruitment and programming.**

Access Theme III: Student Experience and Engagement

The U of A student experience encompasses opportunities for academic engagement as well as social and community involvement; it also promotes health and wellness alongside career and life development. We value the involvement of students with professors, librarians, staff, alumni, and the broader community, both inside and outside the classroom. The outcomes of engagement are many, but most readily identifiable are the pursuit of truth, involvement in communities both near and far, a sense of belonging and affiliation with the U of A, as well as self-formation and personal development.

The university also supports Aboriginal, rural, and francophone students who require additional services and facilities for their distinctive experiences and needs, including translation into French of English-language materials, specialized academic and personal counselling, and core sciences facilities on the Saint-Jean and Augustana campuses.

Based on the university's on-going commitment to enhancing the student experience and engaging the student, the following resource requirements have been identified.

- ❖ **\$4.55 million base funding which includes support for French language programs and student support services at Campus Saint-Jean, international student scholarships undergraduate internships and study abroad student support**

Access Theme IV: Innovative Programming

At the U of A, faculties and departments continually focus on innovative programming that evolves to meet student and employment demands. The university is also actively exploring and implementing new methods and programming to provide current and prospective students with opportunities to ladder from one level of post-secondary study to another, and to ladder from post-secondary study to additional professional development. Furthermore, as we work toward a ratio of 1:3 graduate student to undergraduate students, in line with the world's top public universities, we are differentially increasing graduate student enrolment relative to undergraduate enrolment. Thus, we have a particular focus on innovative programming at the graduate level.

In support of ongoing innovative programming the university is seeking the following new resources.

- ❖ **\$3.1 million base for additional FLEs in PH.D. program in Engineering, health-team pathways academic programming and new program and operating costs for Collège Saint-Jean**

Resource Implications: Research, Scholarship, and Creative Activity

The University of Alberta is committed to discovery-driven research, scholarship, and creative activity across the academy that will drive the next generation economy. Excellence in both translational and discovery-driven research, scholarship, and creative activity is the responsibility of research-intensive teaching institutions in our society today, and is consistent with an institution and a province that must be positioned to compete on the global stage. As with the U of A's access and programming priorities, we have also identified three core research themes to be pursued by the institution: diversified excellence and impact, competitive and well-managed research resources, and internationalization.

Research Theme I: Competitive and Well-Managed Research Resources

The shared research resources and services essential to the U of A's overall research enterprise are extensive, highly specialized, and diverse. Examples of these shared resources and services include specialized animal care facilities, greenhouse facilities and remote research stations, advanced research computing facilities, aquatic experimental facilities, statistical and technology consulting, the Edmonton Health Academy knowledge integration space, machine shops that produce customized materials for scientific research, specialized analytic facilities such as mass spectrometers and NMRs, and specialized imaging facilities.

These research resources and services support discovery, translational, and pre-commercialization activities that the institution undertakes internally and with private sector partners. The existence of these shared research resources, their management, and their competitiveness are particularly important to industrial partners, especially who are assessing the innovation potential of partnerships with the province, via collaborations with the Campus Alberta Research Institutions. These shared research resources directly and indirectly constitute Alberta Innovates' research and development capabilities.

- ❖ **\$12 million base investment to sustain core research operations and cyber infrastructure and research computing**

Research Theme II: Diversified Excellence and Impact

The Canada Excellence Research Chairs (CERCs) program is just one example of key tools needed to advance our competitiveness and enhance our prosperity. It is also an excellent example of the power of leveraging of investments across government sectors. The U of A will be receiving \$30 million of federal investment dollars through this program that requires matching dollars at the provincial level. The recruitment of CERCs enables the university and province to form a critical mass of research expertise leading to the formation of a knowledge cluster. This ultimately facilitates the retention and attraction of researchers, postdoctoral fellows, graduate students, and visiting professors. This critical mass or knowledge clusters also enable the university and province to leverage international partnerships.

- ❖ **\$20 million over a 6 year period to ensure the success of our Canada Excellence Research Chairs program, with the first \$10 million being provided in the first two years to rapidly enhance the Chair program**
- ❖ **Reinstatement of the Access to the Future fund, to increase the institution's success in securing philanthropic funding that supports broad-based excellence and impact**

Investment through the programs of the former Alberta Ingenuity and iCORE, and more recently through the Alberta Innovates Corporations, allowed the university to establish centres that have unequivocally become world-class. These centres include the Alberta Machine Learning Centre (formerly Alberta

Innovates Centre for Machine Learning), the Alberta Glycomics Centre (formerly Alberta Innovates Centre for Carbohydrate Sciences), the Centre for Oil Sands Innovation, the Canadian Centre for Clean Coal/Carbon and Mineral Processing, Phytola, and Livestock Gentec. In each case, the programs presented top-calibre researchers the opportunity to remain at or join the University and build visionary centres with recognized scope and impact. Continued investment in these established centres, which leverage significant federal and international dollars, will sustain the excellence and impact that has been built over the last decade.

- ❖ **The University is seeking \$60M over 5 years, to sustain Alberta Innovates Centres that continue to meet standards of international excellence and provincial impact**

Additional resources are required to support the U of A's research strategies for advancing diversified excellence. The university continues to be a beneficiary of federal government investments. However, many of these investments require matching dollars at the provincial and or institutional level to make funding applications more competitive.

- ❖ **\$10 million per year to meet the growing matching-dollar requirements associated with Tri-Council, Genome Canada, and other federal programs**

In support of both excellence and internationalization, there is a critical need for investment in infrastructure and associated operating costs. Alberta's continued participation in regional and national infrastructure initiatives, such as Westgrid, TRIUMF, and future CFI Major Initiatives Competitions, will require additional investment. . In particular, the university wishes to signal the need for matching dollars, over the next three years, related to CFI competitions.

- ❖ **\$25 million in one-time funding to match potential CFI awards in the 2012 Leading Edge Fund and New Initiative Fund competition, starting FY2013-2014**

- ❖ **\$8.7M in one-time funding to match CFI awards through the Leaders' Opportunity Fund, over the next 3 years**

Postdoctoral fellows are highly qualified academics training to enhance their teaching, research, and mentorship skills. They represent a core element of any internationally competitive research-intensive institution. PDFs bring a unique level of skill and expertise to an institution and add to the vibrancy and intellectual capacity of a university and its teaching and research teams. It is essential that the U of A secure necessary operating support for its existing postdoctoral fellows and continue to attract new PDFs to Alberta. As with masters and PhD students, the U of A lags behind in the number of postdoctoral fellows compared to peer institutions.

- ❖ **\$1.8 million base funding to reach our goal of 40 new postdoctoral fellow positions offering stipends of \$45,000 each**
- ❖ **\$19,600 in operational funding for each of its 550 PDFs, for a total base investment of \$10.8 million**

Currently the U of A provides \$1.8 million in direct funding annually to TEC Edmonton for operating. This funding, which supports provincial commercialization and diversification objectives, comes directly from the university's base operating grant. Having dedicated funding to ensure this organization's financial stability will help TEC Edmonton continue to meet its mandate.

❖ **\$1.8 million in base funding for TEC Edmonton**

The U of A has had a decade long commitment to the integration of research and teaching. It has undertaken many initiatives to ensure that undergraduates reap the benefits of receiving their post-secondary education within a research-intensive institution that is among the top in Canada and in the world. A special way this occurs is to provide as many undergraduates as possible with the direct experience of mentored research. This can be achieved through the establishment of undergraduate internships. These internships allow undergraduate students to work side by side with leading graduate students and internationally recognized professors. These students leave the university for Alberta's public and private sector with specialized skills, analytic capabilities, and more direct exposure to careful, rigorous quality work and leadership. These internships also increase the likelihood of undergraduates electing to enter graduate school, and contributes to a steady stream of Alberta students who seek post-graduate training.

❖ **\$1.0 million base funding for the creation of 200 undergraduate internship positions at \$5,000 per intern**

Research Theme III: Internationalization

Research, scholarship, creative activity, and innovation are some of the few areas where national boundaries have little influence. Researchers, scholars, and innovators are in the most mobile of all professions in today's world; they interact with colleagues and establish strong partnerships around the globe. As a result, many opportunities exist for different institutions, nations and regions that share common global challenges and opportunities to form partnerships of mutual strategic interest.

In the past few years, the U of A has achieved some extremely high-profile successes that have leveraged Alberta resources and provincial connections with the investment of some top-tier foreign collaborators. The Helmholtz initiative is but one example. The university aims to build on these successes by accessing the necessary funding to develop new and extend existing global consortia in targeted areas of excellence.

❖ **\$55 million over five years to support international consortia activities in the areas of energy and environment, water, infectious diseases, and food**

These international agreements and consortia provide exceptional opportunities for our undergraduate students to participate in various student exchanges. These exchanges are consistent with our goals of internationalization, enhancing the student experience and educating students in a global context. Funding to support student mobility is critical.

❖ **\$3 million in over five years for student mobility and exchange programs associated with current and future international agreements and consortia.**

❖ **\$6 million over four years to top up grants from Brazil's Science without Borders program to attract 340 post-doctoral fellows and 680 graduate students to Alberta.**

Resource Implications: Capital Plan

The Capital Plan sets the framework for how the U of A is building toward the future by outlining key capital priorities, assumptions, objectives, and risks as they relate to meeting the outcomes outlined within the academic chapter. The Capital Plan seeks to draw a balance between the current provincial fiscal environment and the emerging issues to which the university must respond as part of its mission

and vision. The plan also endeavours to take a balanced approach in identifying the need for capital funding in support of identified planning, engineering, and/or construction activities.

As we look forward, the university has identified five strategic priority areas that guide capital planning efforts. These include:

- maintaining the condition and functionality of the university's physical assets.
- coupling backfill requirements with renewal projects to provide a sustainable, best-value model of capital projects.
- increasing our focus on planning and pre-design services that provides a clear tie into campus development and its delivery to meet both the immediate and long-term strategic vision of the institution.
- responding to pressures for additional student residences, as well as faculty and staff housing.
- undertaking a measured response to growth in accordance with the CIP, recognizing the need for strategic planning and construction of critical new facilities and to respect that the needs of our campuses vary as they each serve unique and separate constituencies within Alberta.

The university has identified the following resource needs in support of these five priority areas.

- ❖ **\$18 million in support of pre-design and design projects**
- ❖ **\$580 million in support of the university's highest preservation priorities**
- ❖ **\$1.1 billion for the highest new and expansion priorities**
- ❖ **\$3 to \$4 million annual funding allowance to support planning pre-design services for capital projects, so that the university will have an inventory of projects in a state of readiness and to achieve a higher level of program and cost certainty**

Risk Implications

Like all world-class research intensive universities, the University of Alberta must deal with a variety of risks that have the potential to hinder its growth and the realization of its vision, mission and strategic objectives. Many of these risks have been identified throughout this document.

1. In moving towards our vision of being one of the world's great public universities, our national and international profile will increase. A higher profile will be accompanied by an increased level of scrutiny and we will be held to a higher standard. Any significant long-term negative event can quickly impact the reputation of an institution.
2. The substantive and continuing economic uncertainty, low interest rates, concerns over rising costs of education, government deficits, and a budget model where expenditures are increasing more rapidly than revenue presents the University with a series of fundamental budget risks. The realignment of the University's budget model will be critical if the University is to achieve its vision and academic priorities.
3. Enrolment growth must be managed from the perspective of meeting the labour demands of a province on the road to recovery, while achieving the appropriate enrolment ratio targets that position the University as an internationally competitive research-intensive institution.

4. The University must maintain the morale of its staff during uncertain economic times, while investing in key human-resource systems and processes to ensure the effective operation of the University.
5. For the University to remain relevant to its students and meet the needs and expectations of its faculty to engage in world-calibre research, it requires continuous investment in leading-edge IT infrastructure and support.
6. The continuation of appropriate levels of Infrastructure Maintenance Program funding to avoid a return to increasing levels of deferred maintenance is vital. In addition, limited or no funding of capital for new, expansion, and/or renewal projects will impact the capacity of the University to meet the strategic goals of the institution and negatively impact the economic goals of the Province.
7. Uncertainty brings risk associated with retaining and attracting the best and the brightest students, academics and staff. Clarity in levels of government investment and confirmation of strategic investments greatly reduces the risks associated with uncertainty.
8. An institution that has aspirations of being among the top publicly funded research-intensive universities in the world can only achieve that goal through the establishment of strategic collaborations and partnerships with an extensive range of stakeholders. These relationships must be managed in an integrated and strategic manner.
9. The University requires access to and flexibility in funding that would enable it to leverage tens of millions of research dollars from provincial, national, and international sources. This type of leveraging strategy will advance the University in achieving internationally recognized research excellence while meeting the economic goals of both the provincial and federal governments.
10. While the University must assume risks in support of its mandate as an internationally recognized research-intensive institution, it must also promote appropriate risk-management plans and strategies that develop responsive attitudes and behaviours at all levels of the organization in order to maintain a healthy and safe environment for all.

Through its integrated enterprise risk management framework, the University will monitor, manage, and mitigate these and other emerging risks in an effort to avoid substantial impact on the University's ability to fulfil its strategic objectives.

Tracking Our Performance

Performance indicators are starting points for monitoring progress toward expected outcomes and goals. These indicators have been chosen and developed on the basis of input from key University of Alberta partners, as well as the planning efforts that have produced the university's vision, *Dare to Discover*, the academic plan, *Dare to Deliver 2011-2015*, and the access and research plans contained within this comprehensive planning document.

The following measures will be included at appropriate places throughout the Comprehensive Institutional Plan:

- Full-Time Equivalent (FTE) Undergraduate to Graduate Studies Student Ratio, 2009-10 to 2011-12
- Post-Doctoral Fellows
- Proportion of students satisfied or very satisfied with their educational experience
- Enrolment of Selected Student Groups
- Applications and Admissions, Fall 2007 to Fall 2011
- Citations per Full-Time Faculty, University of Alberta and Selected Peers, 2006 to 2010
- Publications per Full-Time Faculty, University of Alberta and Selected Peers, 2006 to 2010
- New Licenses and Options Executed, University of Alberta and Selected Peers, 2005-06 to 2009-10
- Percent of students rating their educational experience as good or excellent
- Graduate Employment Rate Two Years After Graduation
- Completion Rates, University of Alberta
- Average Financial Support per Doctoral Student, University of Alberta and G13 Universities, 2005-06 and 2009-2010
- Average Financial Support per Research Masters Student, University of Alberta and G13 Universities, 2005-06 & 2009-10
- G13 Sponsored Research Income by Type, 2008-09 and 2009-10
- Sponsored Research Income per Full-time Teaching Faculty for G13 Universities, 2008-09 and 2009-10 (in \$000's)
- University of Alberta Fundraising Achievement, Latest 10 Years, 2001-02 to 2010-11
- Selected Full-Time Faculty Awards and Honours, University of Alberta and Selected Peers, 1998 to 2010

Appendices

Appendix 1: Major Capital Requirements Ten-Year Forecast

To be added.

Appendix 2: Current and Emerging Capital Projects

Other Current and Emerging Capital Preservation Project Priorities (Not ranked - listed in alphabetical order)		
Project	Description	Request (\$)
Augustana Auxiliary Building Repurpose	Building redevelopment including upgrades to the architectural, mechanical, and electrical systems.	2,080,776
Augustana Storm Water Management	Correction of storm-water management issues and addition of secondary access to ravine entrances.	3,659,400
Balmoral Centre Repurpose	Repurpose to accommodate future program needs.	4,300,000
Elevator Upgrades	Campus-wide program for renewal of aged elevators that are experiencing failures.	8,081,175
McDougall Church – Redevelopment and Renewal	Building redevelopment and renewal to accommodate university and community use.	10,774,900
Mechanical Engineering Building (pre-design, minor upgrades)	Planning and design for renewal of the building systems to meet new functionality and utilization requirements.	5,181,973
Quad Redevelopment	Redevelopment of this historic heart of North Campus in celebration of the university’s first successful century of achievement and development.	52,258,265
Research Transition Facility – Building Systems Upgrade	Replacement of various building system elements and upgrades to internal spaces to address building code and system performance issues for continued use of the facility.	2,763,223
Various Facilities – Card Access System Renewal	Campus-wide program for upgrade of the card access system that has reached the end of its service life.	2,693,725

Various Facilities – Cooling Coil Upgrade Program	Campus-wide upgrade of cooling coils for major ventilation systems that have exceeded their life expectancy.	3,771,215
Various Facilities – Medium Voltage Electrical Systems Upgrade	Campus-wide program for upgrade of the medium voltage electrical systems that have exceeded their service life and capacity requirements.	7,003,685
Various Facilities – Motor Control Centre Upgrade Program	Campus-wide upgrade of motor control centres that have exceeded their life expectancy.	5,290,476
Various Facilities – Canada School for Energy and the Environment	Renewal of space in existing facilities to accommodate the new program initiative of the Canada School of Energy and the Environment (CSEE) and to address deferred maintenance.	175,612,000
Total		272,770,793

Other Current and Emerging Capital New and Expansion Project Priorities (Not ranked - listed in alphabetical order)		
Project	Description	Request (\$)
Campus Wide Wireless Network – New Infrastructure	Development of a campus wide wireless system for information system access across campus	4,500,000
Camrose Performing Arts Centre (Phase 2)	Expansion of the facility aimed to increase its flexibility while increasing the support space capacity, allowing for growth of existing programs and development of new programs related to theatre, drama and the performing arts	18,792,300
East Campus Village Amenities Building	New facility designed as a multi-purpose use occupancy building, primarily daycare and academic support space for residents of East Campus Village (formal and informal social space, quiet space, seminar space). The university is looking at additional funding models for this building	18,500,000
Edmonton Clinic Health Academy Expansion	Continued expansion for medicine, U of A clinics, nursing, and rehabilitation medicine to address continued program growth and reduce leasing costs.	372,391,319.
Total		\$160,000,000

Appendix 3.1: Statement of Financial Position

To be added.

Appendix 3.2: Statement of Changes in Net Assets

To be added.

**Full-Time Equivalent (FTE) Ratios
2009-10 to 2011-12**

Academic Reporting Year	Undergraduate Students			Graduate Studies Students			Ratio of FTE UG to FTE GS	Faculty	FTE Student to Faculty Ratio	FTE GS Students to Faculty Ratio
	Full-time	Part-time	FTE	Full-time	Part-time	FTE				
2011-12	28,393	2,026	29,068	5,968	1,506	6,470	4.5	1,615	22.0	4.0
2010-11	28,245	1,842	28,859	5,964	1,382	6,425	4.5	1,613	21.9	4.0
2009-10	27,677	1,965	28,332	5,746	1,405	6,214	4.6	1,655	20.9	3.8

Source:

Student enrolments based on U of A RegStats Archive data as of December 1 of each respective academic year
Faculty counts based on U of A Human Resources data as of October 1 of each respective academic year

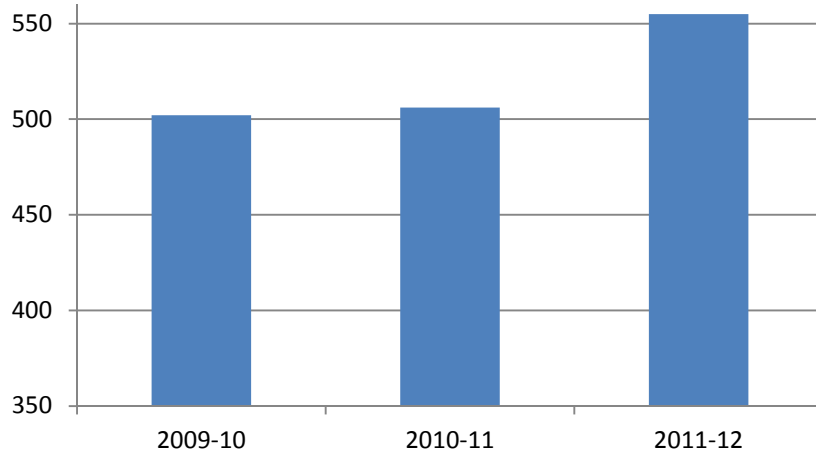
Notes:

Enrolments based on active fall enrolments.

Post-graduate medical education students are excluded.

FTE (full-time equivalent) represents the number of full-time students plus one-third the number of part-time students, and are based on the number of individual students within each reporting category.

Post-Doctoral Fellows



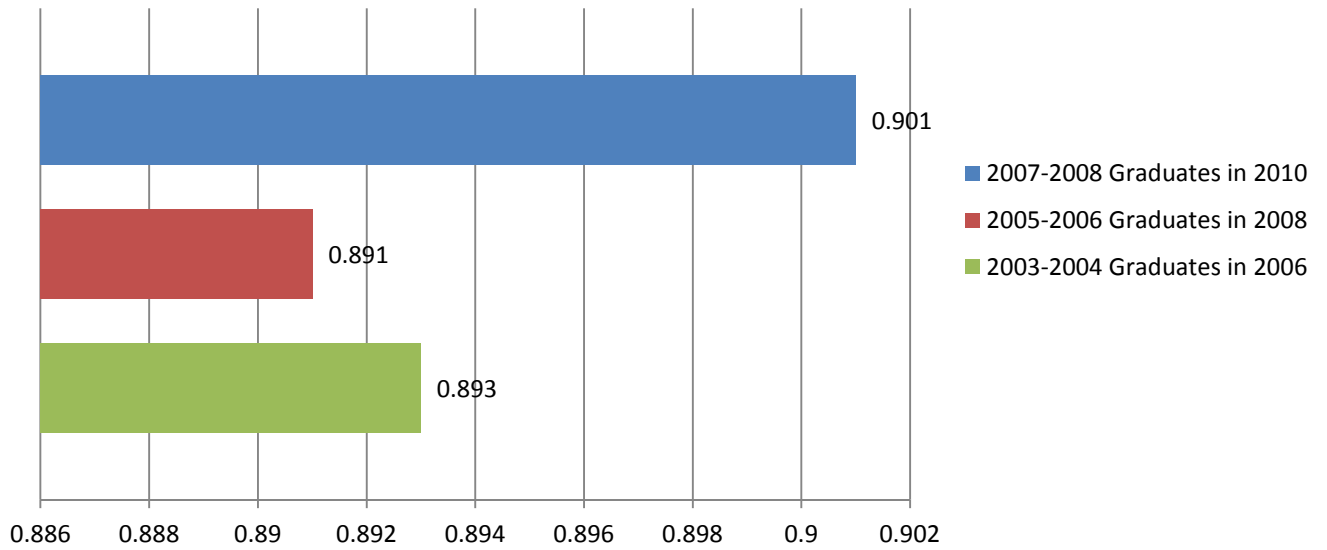
Note:

Numbers reflect headcounts of post-doctoral fellows as of October 1 of the reported year.

Source:

U of A staff data, databook table 4.1

Proportion of Graduates Satisfied with their Educational Experience



Source:
Alberta Advanced Education and Technology: Alberta Graduate Outcomes Survey

Where do our students come from ? (2010/11)

Alberta: 28,300 (73.91%)

Other Canadian Provinces and Territories: 4,194 (10.95%)

Outside of Canada: 5,796 (15.14%) TO BE QUOTED IN THE TEXT

Enrolment of Selected Student Groups

	2009-10	2010-11	2011-12
Alberta Undergraduate enrolment from rural areas	21.0%	20.7%	20.6%
Alberta Undergraduate enrolment of self-identified aboriginal	2.7%	2.7%	3.0%
Undergraduate visa student enrolment	6.9%	8.0%	9.1%
Graduate visa student enrolment	27.3%	29.1%	31.5%

Notes:

Rural and aboriginal figures are proportions of total Alberta undergraduate enrolment.

Rural means home addresses outside greater Edmonton and Calgary census divisions.

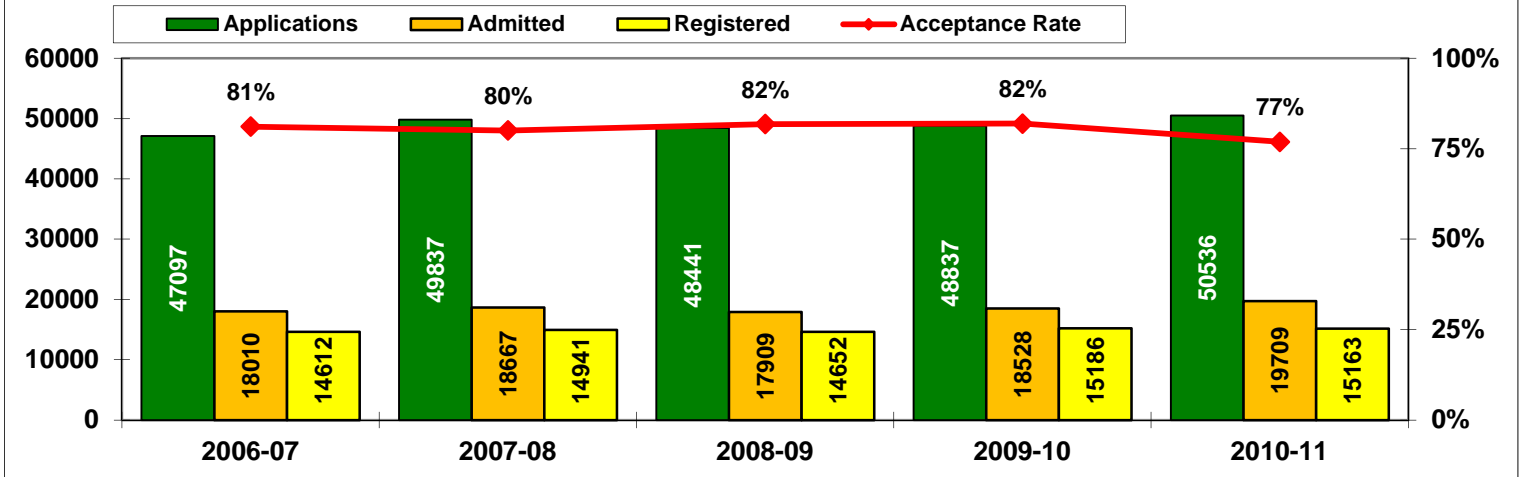
Visa students include those with statuses of study permit, work permit, diplomatic status, refugee, temporary resident visa and visiting speaker.

Sources:

U of A Student Enrolment data, Dec 1 headcount

Summary of Statistics, tables 7.4 and 7.8

Applications and Admissions, Fall 2007 to Fall 2011



Notes:

The numbers reported reflect unique individuals.

Processing of applications changed in Fall 2010 with the implementation of the Apply Alberta. Comparability of data reported before Fall 2010 is compromised by this change.

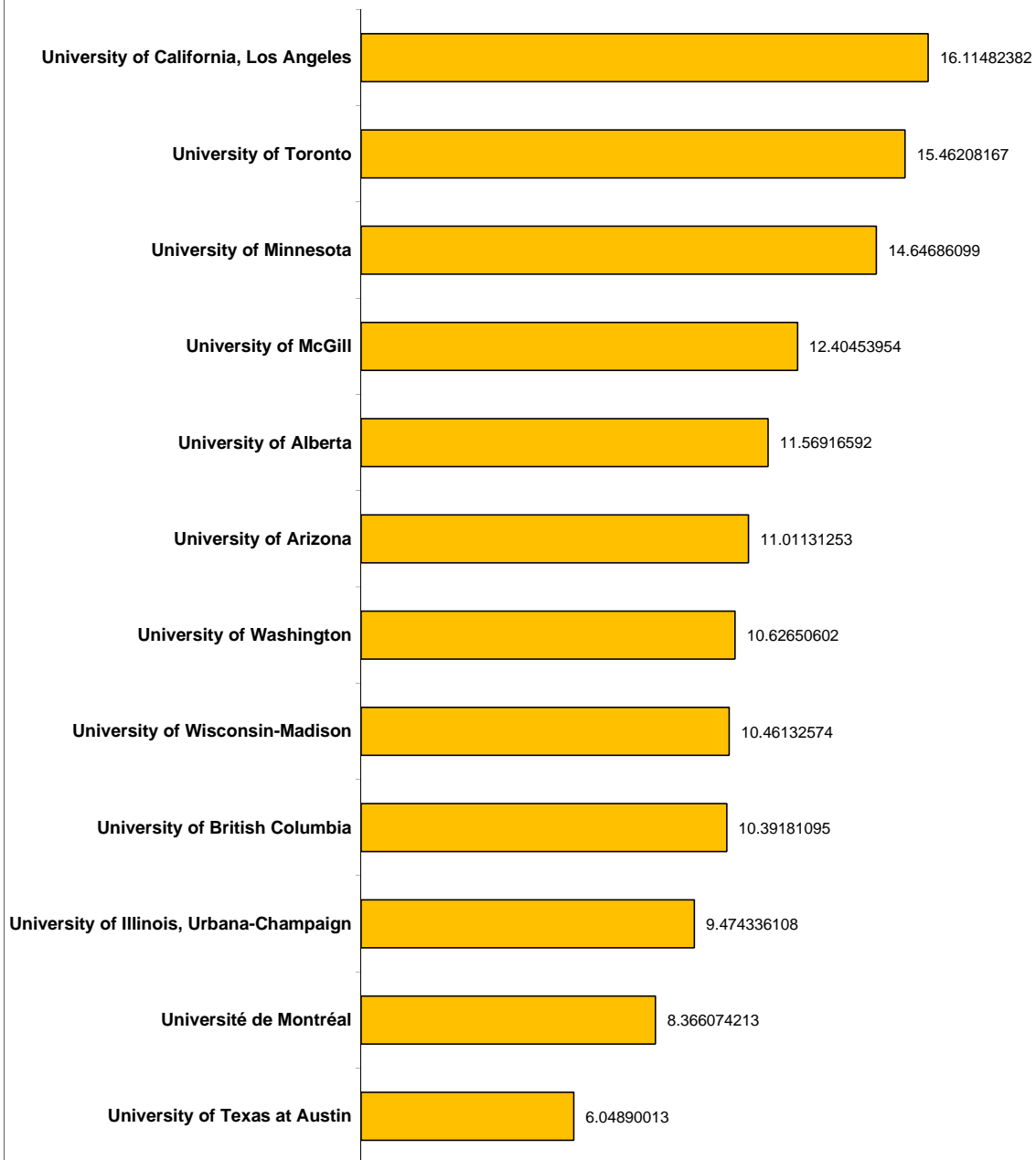
The acceptance rate is the proportion of those admitted who registered .

Source:

UG data from Summary of Undergraduate Applications for Fall Admission (Strategic Analysis and Registrars Office)

Data are as of October 4 of the reported year.

**Publications per Full-Time Faculty, University of Alberta and Selected Peers,
2006 to 2010**



Notes: Publication counts reflect the average number of papers published in the last five-years , to the average of full-time faculty during the same period.

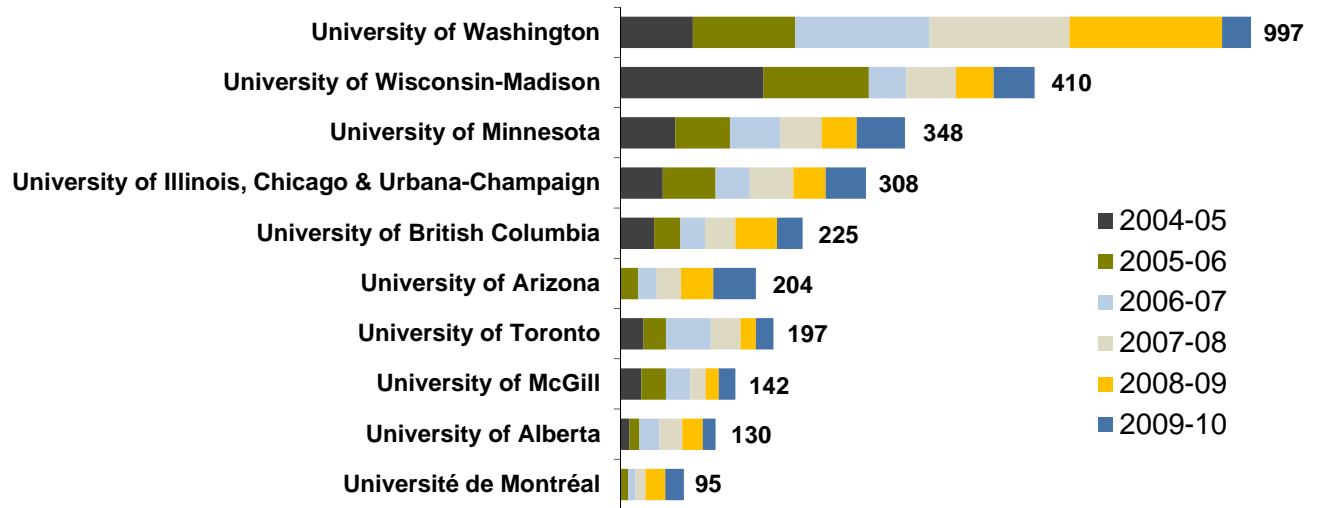
Source:

Canadian university faculty counts based on Statistics Canada UCASS Final Reports for each respective year.

US university faculty counts based on their respective Common Data Sets for each respective year.

Citations based on InCites™, Thomson Reuters (2011). Data Source: Web of Science®

New Licenses and Options Executed, University of Alberta and Selected Peers, 2005-06 to 2009-10



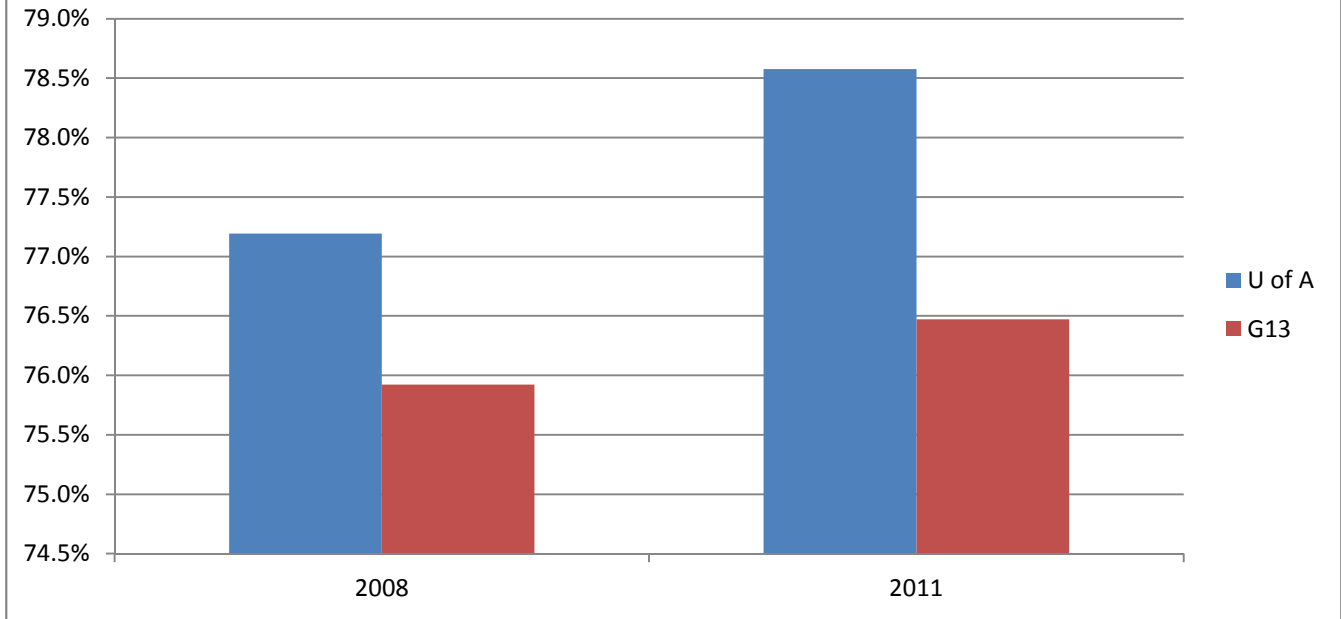
Notes:

To be finalized

Source:

AUTM Licensing Survey, fiscal years 2005-06 to 2009-10

Percent of students rating their educational experience as good or excellent



Source: U of A Frequency Distribution Report, NSSE (National Survey of Student Engagement), 2008 and 2011

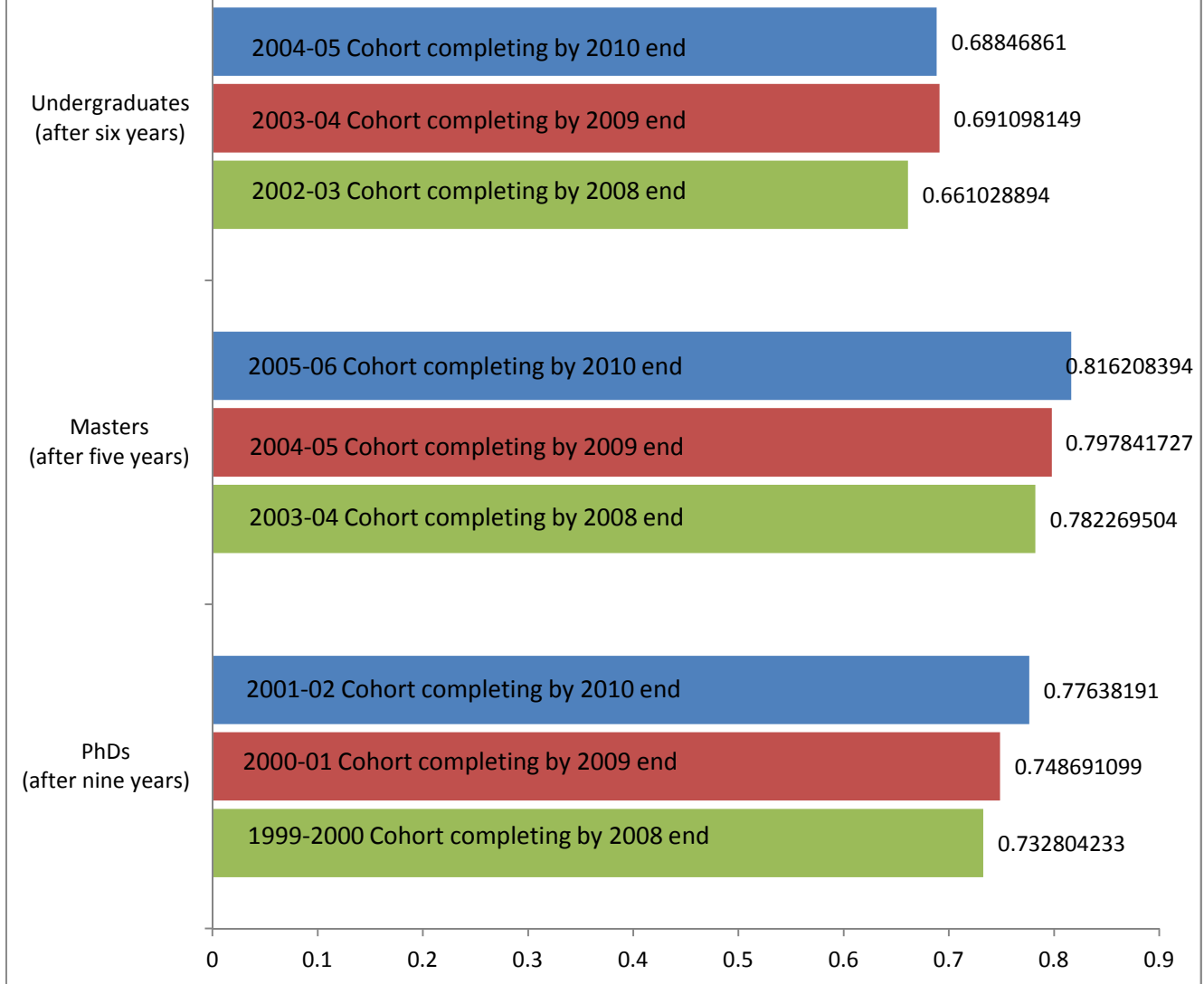
Graduate Employment Rate Two Years After Graduation



Source:

Alberta Advanced Education and Technology: Alberta Graduate Outcomes Survey

Completion Rates, University of Alberta

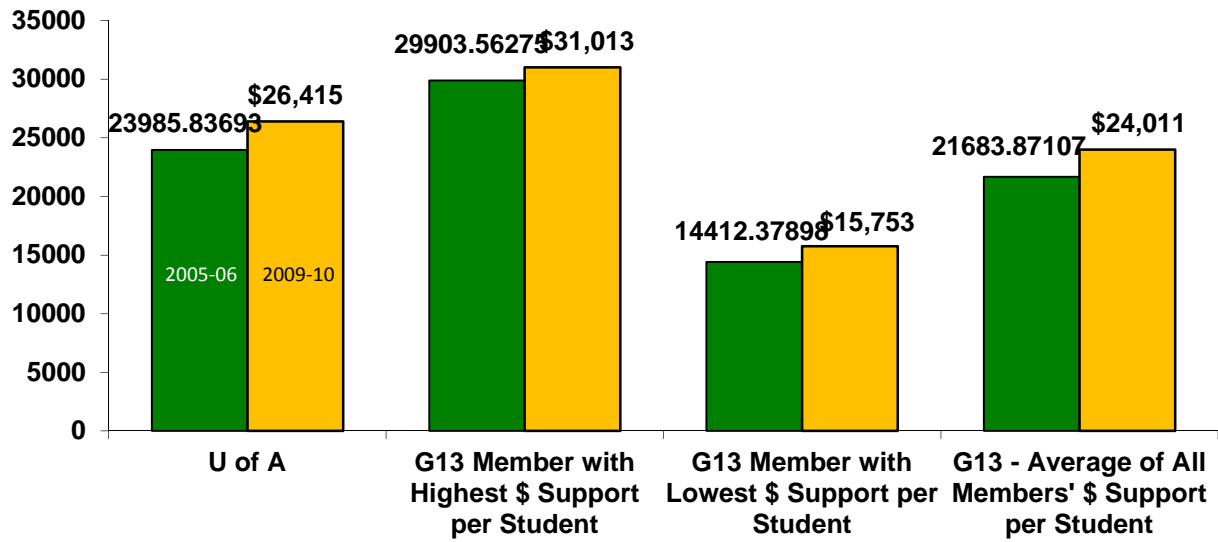


Notes: Completion Rate methodology defined and implemented by the Strategic Analysis Office. Completers in the Undergraduate Completion Rate represent students who graduated from the U of A in any program. Completers in the Masters and PhD Completion Rates represent students who graduated with either a Masters or PhD. The Masters Cohort includes students enrolled in either a thesis-based or course-based Masters program; and students graduating with a Masters may be either a thesis-based or course-based Masters.

Source:

University of Alberta Strategic Analysis Office undergraduate figures as submitted to CSRDE (Consortium for Student Retention Data Exchange); Masters and PhD figures as submitted to the G13 Data Exchange

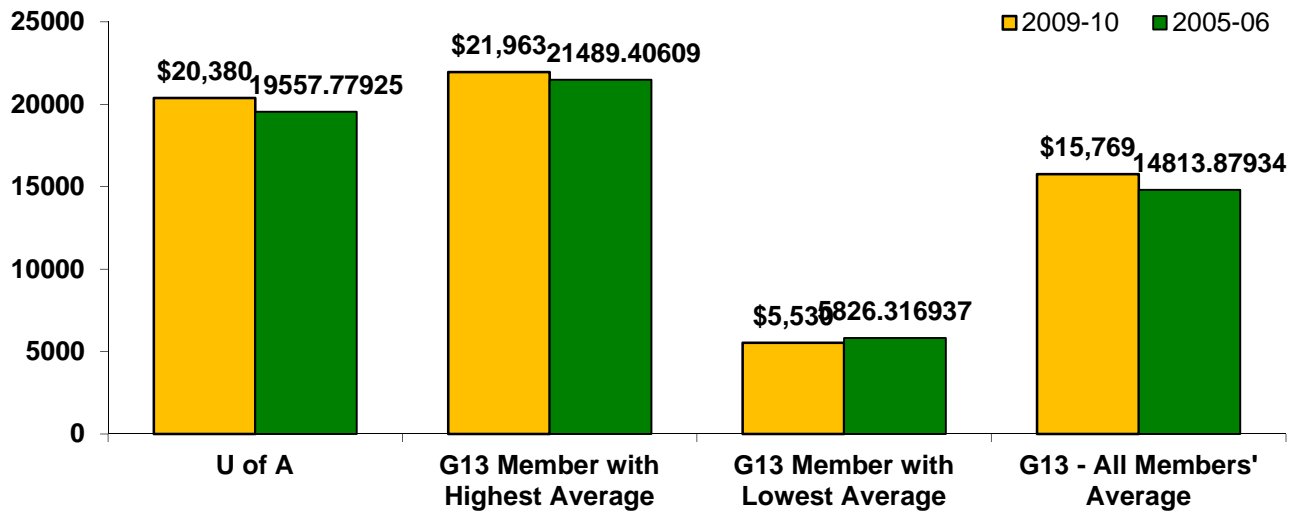
**Average Financial Support per Doctoral Student,
University of Alberta and G13 Universities, 2005-06 and 2009-10**



Notes: Data is based on 10 universities in 2005-06 and 13 universities in 2009-10.

Source: G13 Data Exchange

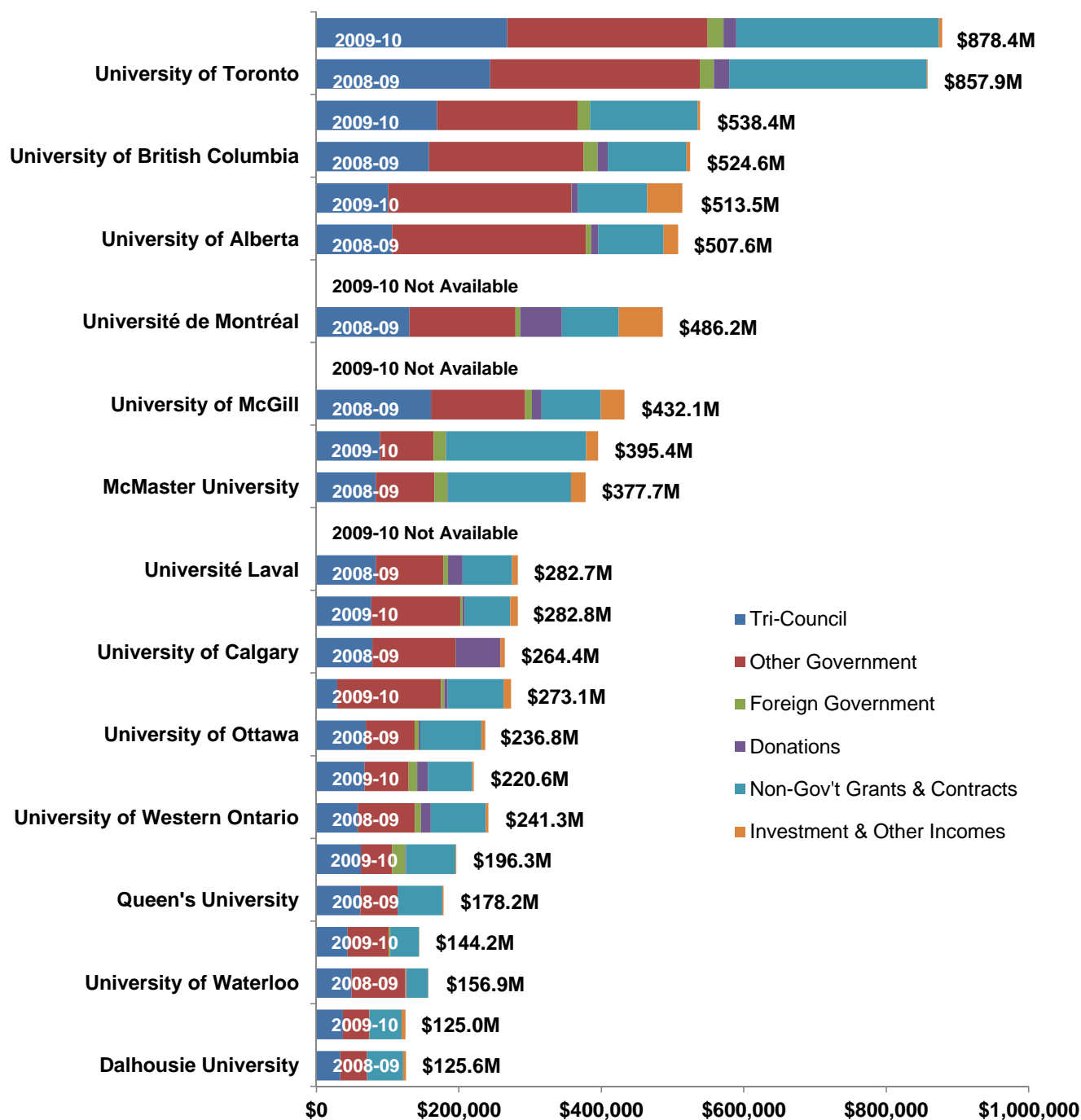
Average Financial Support per Research Masters Student, University of Alberta and G13 Universities, 2005-06 & 2009-10



Notes: Data is e based on 10 universities in 2005-06 and 13 universities in 2009-10.

Source: G13 Data Exchange

G13 Sponsored Research Income by Type, 2008-09 and 2009-10

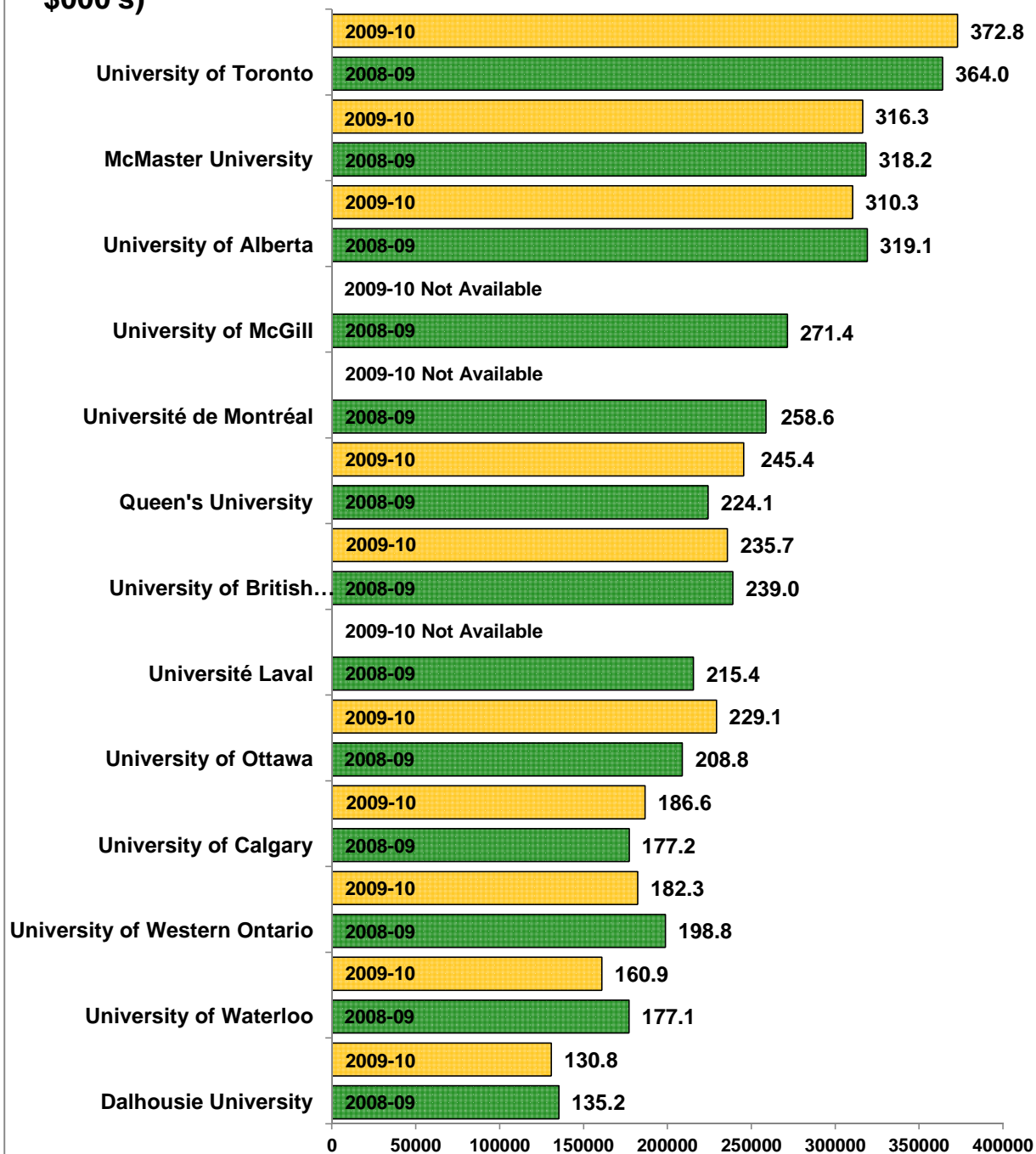


Notes: Income from Tri-Council includes: Social Sciences and Humanities Research Council; Natural Sciences and Research Council; and Canadian Institute of Health Research (CIHR)
 Other Government income reflects income from all government departments and agencies - grants and contracts, less Tri-Council and foreign government income.
 Donations, non-government grants and contracts, and investment and other incomes, are reported in each respective category on the CAUBOreport.

Sources:

Canadian Association of University Business Officers (CAUBO): Financial Information of Universities and Colleges 2008-09 and 2009 - 2010, Report 3.1

Sponsored Research Income per Full-time Teaching Faculty for G13 Universities, 2008-09 and 2009-10 (in \$000's)



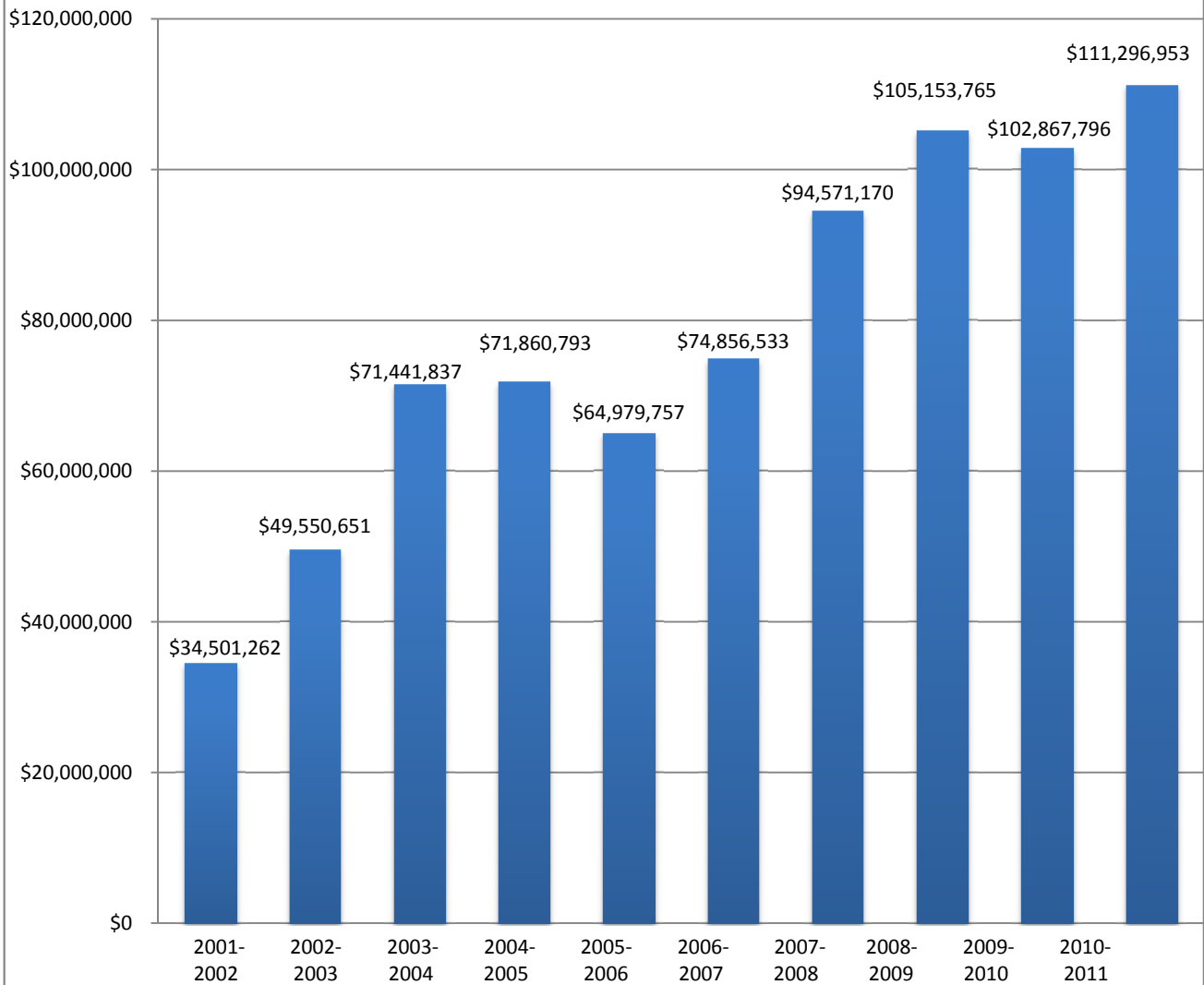
Notes: Full-time teaching faculty (Including Medical/Dental) are Professors, Associate Professors and Assistant Professors.

Source:

CAUBO Financial Information of Universities and Colleges, 2008-09 and 2009-10. The 2009-10 information is not yet available for Université de Montréal, University of McGill and Université Laval

Statistics Canada Salaries and Salary Scales of Full-time Teaching Staff at Canadian Universities, 2008/09: Final Report and the 2009/2010: Preliminary Report, with the exception of the following universities whose data source is G13 Full-Time Faculty Salaries Report (with preliminary data for University of Toronto) 2009-2010: Dalhousie University, University of Western Ontario, Queens University, University of Waterloo, University of Toronto, Université de Montréal, University of McGill and Université Laval.

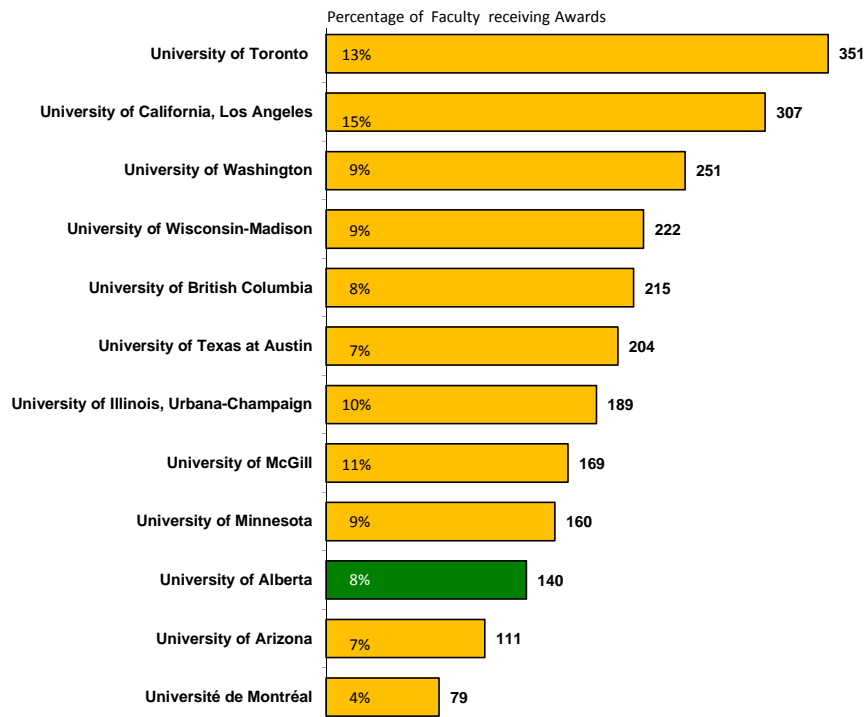
**University of Alberta Fundraising Achievement,
Latest 10 Years, 2001-02 to 2010-11**



This chart was provided by O'Neil Outar July 2011.

Source: Board of Governors' Reports, University of Alberta

Selected Full-Time Faculty Awards and Honours, University of Alberta and Selected Peers, 1998 to 2010



Awards include: 3M (1998-2010), American Academy of Arts and Sciences (1998-2010), CIS Coach of the Year Award (1998-2010), Federal Tri-Council Highest Awards (1998-2010), Fulbright Scholars (1998-2010), Guggenheim Fellowship Awards (1998-2010), ISI Highly Cited Researchers (inception-2009), Killam Research Fellows (1998-2010), Molson Prize (1998-2010), National Academy of Engineering (1998-2010), National Academy of Sciences (1998-2010), Nobel Prize (inception-2010), Royal Society of Canada (1998-2010), Royal Society of Canada Awards (1998-2010), Royal Society of London (1998-2010), Sloan Research Fellowships (1998-2010), Steacie Fellows (1998-2010)

Source:

Award data from individual award websites; individual university websites
 Faculty counts based on Statistics Canada: Salaries and Salary Scale of full-time staff at Canadian