

## **GFC Executive Committee (EXEC)**

### Approved Motions

The following Motions and attendant Final (and Recommended) Documents were approved by the GFC Executive Committee at the meeting of November 7, 2011:

#### **Agenda Title: Negotiated (Proposed) Changes to the Administrative and Professional Officer (APO) Agreement – Article 12 (Probation and Continuing Appointment)**

**Motion:** THAT the GFC Executive Committee, under delegated authority from General Faculties Council, recommend to the Board of Governors the (proposed) negotiated changes to the Administrative and Professional Officer (APO) Agreement – Article 12 (*Probation and Continuing Appointment*), as submitted by Faculty Relations (Office of the Provost and Vice-President (Academic)) and as set forth in Attachment 1, to take effect retroactively to August 8, 2011.

Final Recommended Document: [Item 4](#)

#### **Agenda Title: Access to Universal Student Ratings of Instruction (USRI)**

**Motion:** THAT the GFC Executive Committee approve, under delegated authority from General Faculties Council, proposed revisions to Section 111.3 (Teaching and Learning and Teaching Evaluation/Universal Student Ratings of Instruction) of the GFC Policy Manual, as recommended by the GFC Committee on the Learning Environment (CLE) and as set forth in Attachment 1, to be effective upon final approval.

Final Document: [Item 5](#)

#### **Agenda Title: Proposed Award for Excellence in Graduate Teaching Procedure (UAPPOL)**

**Motion:** THAT the GFC Executive Committee recommend to General Faculties Council the new (proposed) Award for Excellence in Graduate Teaching Procedure (and accompanying checklist), as recommended by the GFC University Teaching Awards Committee (UTAC) and as set forth in Attachment 1, to be effective upon final approval.

Final Recommended Document: [Item 6](#)

#### **Agenda Title: Proposed Revisions to the UAPPOL Centres and Institutes Policy and Associated Procedures**

**Motion:** THAT the GFC Executive Committee, under delegated authority from General Faculties Council, recommend to the Board of Governors proposed changes to the UAPPOL Centres and Institutes Policy and approve proposed changes to the Academic Centres and Institutes Establishment Procedure, the Academic Centres and Institutes Operation Procedure, and the Academic Centres and Institutes Termination Procedure, as submitted by the Office of

the Provost and Vice-President (Academic) and as set forth in Attachment 1, with proposed changes to the Centres and Institutes Policy to take effect upon final approval by the Board of Governors and with proposed changes to the aforementioned Procedures to take effect upon final approval by the GFC Executive Committee.

Final Recommended Document: [Item 7](#)

Agenda Title: **Draft Agenda for the November 28, 2011 Meeting of General Faculties Council (GFC) (to be distributed)**

**Motion:** THAT the GFC Executive Committee approve, under delegated authority from General Faculties Council, the draft Agenda, as amended, for the November 28, 2011 meeting of General Faculties Council (GFC)..

**OUTLINE OF ISSUE**

Agenda Title: **Negotiated (Proposed) Changes to the Administrative and Professional Officer (APO) Agreement – Article 12 (*Probation and Continuing Appointment*)**

**Motion:** THAT the GFC Executive Committee, under delegated authority from General Faculties Council, recommend to the Board of Governors the (proposed) negotiated changes to the Administrative and Professional Officer (APO) Agreement – Article 12 (*Probation and Continuing Appointment*), as submitted by Faculty Relations (Office of the Provost and Vice-President (Academic)) and as set forth in Attachment 1, to take effect retroactively to August 8, 2011.

**Item**

Action Requested	<input type="checkbox"/> Approval <input checked="" type="checkbox"/> Recommendation <input type="checkbox"/> Discussion/Advice <input type="checkbox"/> Information
Proposed by	Carl Amrhein, Provost and Vice-President (Academic)
Presenter	To be determined.
Subject	Negotiated (Proposed) Amendments to the Administrative and Professional Officer (APO) Agreement

**Details**

Responsibility	Provost and Vice-President (Academic)
The Purpose of the Proposal is (please be specific)	The Association of Academic Staff – University of Alberta (AASUA) and the University Administration reached agreement on amendments to Article 12 ( <i>Probation and Continuing Appointment</i> ) of the APO Agreement during 2010-2011 compensation negotiations. The amendments were ratified by AASUA in August, 2011. The amendments are presented in the attached side-by-side format and require ratification by the Board of Governors.
The Impact of the Proposal is	Amendments to the APO Agreement.
Replaces/Revises (eg, policies, resolutions)	Previous provisions of the APO Agreement.
Timeline/Implementation Date	Amendments are retroactively effective August 8, 2011 (date of ratification by AASUA).
Estimated Cost	Cost neutral.
Sources of Funding	N/A
Notes	N/A

**Alignment/Compliance**

Alignment with Guiding Documents	<i>Dare to Discover, Dare to Deliver</i>
Compliance with Legislation, Policy and/or Procedure Relevant to the Proposal (please quote legislation and include identifying section numbers)	<ol style="list-style-type: none"> <li><b>Post-Secondary Learning Act (PSLA):</b> The PSLA gives General Faculties Council (GFC) responsibility, subject to the authority of the Board of Governors, over "academic affairs" (section 26(1)).</li> <li><b>Post-Secondary Learning Act (PSLA):</b> The Board has authority to employ officers, employees and academic staff (sections 83 and 84 of the Act).</li> <li><b>Post-Secondary Learning Act (PSLA):</b> GFC has authority to approve procedures relating to the appointment, promotion and dismissal of academic staff (Section 22(2)):</li> </ol>

**“22(2)** A person shall not be appointed to, promoted to or dismissed from any position on the academic staff at a university except on the recommendation of the president made in accordance with procedures approved by the general faculties council.”

In addition, GFC may recommend to the Board of Governors on "procedures in respect of appointments, promotions, salaries, tenure and dismissals" of academic staff (Section 26(1)(o)):

**“26(1)** (o) make recommendations to the board with respect to affiliation with other institutions, academic planning, campus planning, a building program, the budget, the regulation of residences and dining halls, procedures in respect of appointments, promotions, salaries, tenure and dismissals, and any other matters considered by the general faculties council to be of interest to the university[.] [...]”

**4. Board of Governors General Terms of Reference** (Section 1.b):  
“The Board has delegated to each Committee responsibility and authority to make decisions on behalf of the Board in the Committee’s defined area of responsibility except to the extent that such authority has been specifically limited by the Board in the Terms of Reference for the Committee.”

**5. Board Human Resources and Compensation Committee (BHRCC) Terms of Reference, Sections 3 and 4** state:

**“3. MANDATE OF THE COMMITTEE**

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

Without limiting the generality of the foregoing the Committee shall:  
(a) consider and propose changes to collective agreements and confirm the mandate for negotiating committees with all bargaining units;  
[...]

**4. LIMITATION ON DELEGATION BY THE BOARD**

The general delegation of authority by the Board to the Committee shall be limited as set out in this paragraph. Notwithstanding the general delegation of authority to the Committee as set out in paragraph 3, the Board shall make all decisions with respect to:

(a) consider and propose changes in collective agreements and

	<p>confirm the mandate for negotiating committees with all bargaining units; [...]and]</p> <p>(c) approval of collective agreements and any substantial revisions thereof [...] [.]”</p> <p><b>6. GFC Policy: Section 3, GFC Executive Committee Terms of Reference (<i>Mandate of the Committee</i>)</b>, states: “To act as the executive body of General Faculties Council and, in general, carry out the functions delegated to it by General Faculties Council.</p> <p>1. Urgent Matters: The power to deal with any matters that cannot be deferred is delegated to the Executive Committee which shall determine which matters are to be considered urgent. (GFC 09 AUG 1966).</p> <p>2. Routine Matters: Matters which are routine in carrying out the policies approved by General Faculties Council are delegated to the Executive Committee.”</p>
--	--

**Routing** (Include meeting dates)

Consultative Route (parties who have seen the proposal and in what capacity)	2007-2010 Administrative Professional Officer (APO) Agreement Review Committee (ARC); 2010-2011 Compensation Negotiations
Approval Route (Governance) (including meeting dates)	GFC Executive Committee (November 7, 2011) – for recommendation; Board Human Resources and Compensation Committee (BHRCC) (November 29, 2011) – for recommendation; Board of Governors (December 9, 2011) – for final approval
Final Approver	Board of Governors

Attachments (each to be numbered 1 - <>)

- Attachment 1 (pages 1 – 6): Negotiated (Proposed) Changes to the Administrative and Professional Officer (APO) Agreement – Article 12 (*Probation and Continuing Appointment*) (Comparative Table Format)

Prepared by: Jay Spark, Vice-Provost (Faculty Relations), [jay.spark@ualberta.ca](mailto:jay.spark@ualberta.ca)

**MEMORANDUM OF UNDERSTANDING**

**Between:**

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

**(“AASUA”)**

**- and -**

**THE GOVERNORS OF  
THE UNIVERSITY OF ALBERTA**

**(“University”)**

**Administrative and Professional Officers - Article 12 (Probation and Continuing Appointment)**

<b>Current</b>	<b>Amended</b>
<b>Article 12: Probation and Continuing Appointment</b>	<b>Article 12: Probation and Continuing Appointment</b>
12.01 In exercising the responsibility under 6.01, the Vice-President shall make appointments in accordance with this Article.	12.01 In exercising the responsibility under 6.01, the Vice-President shall make appointments in accordance with this Article.
12.02 A staff member shall be appointed to a probationary appointment unless the Vice-President approves a continuing appointment.	12.02 A staff member shall be appointed to a probationary appointment unless the Vice-President approves a continuing appointment.
12.03 The probationary appointment shall normally be for a period of two years.	12.03 The probationary appointment for a <i>staff member who is appointed for the first time under this Agreement</i> shall normally be for a period of two (2) years. A staff member shall be appointed to a two-year probationary period only once during his/her <i>continuous employment under this Agreement</i> .

<p>12.04 If the staff member is granted leave during the probationary appointment the probationary appointment shall be extended by the duration of such leave or by a longer period of time, unless the Vice-President in approving the leave decides that the extension is not warranted.</p>	<p>12.04 A staff <i>member under this Agreement</i> with a continuing appointment who is appointed to another <i>position under this Agreement</i> shall serve a reduced probationary period, as follows:</p> <ul style="list-style-type: none"> <li>a) <i>Up to and including seven (7)</i> years of service under this Agreement, a probationary period of up to twelve (12) continuous months</li> <li>b) <i>Longer than seven (7)</i> years of service under this Agreement, a probationary period of up to six (6) continuous months</li> </ul>
<p>12.05 The Supervisor shall keep the staff member apprised of progress during probation, and shall meet with the staff member at least twice yearly in order to discuss that progress.</p>	<p>12.05 If the staff member is granted leave during the <i>probationary period</i>, the probationary appointment shall be extended by the duration of such leave or by a longer period of time, unless the Vice-President in approving the leave decides that the extension is not warranted.</p>
<p>12.06 At least two months before the last day of the probationary appointment, the Supervisor shall advise the staff member in writing, whether or not the Supervisor will recommend a continuing appointment upon the completion of the probationary appointment.</p>	<p>12.06 The Supervisor shall keep the staff member apprised of progress during the probationary period, and shall meet with the staff member at least every <i>three (3)</i> months to discuss that progress.</p>
<p>12.07 The Supervisor shall forward the recommendation to the Vice-President.</p>	<p>12.07 <i>Completion of the probationary period</i></p> <p><i>To conclude the probationary period, the Supervisor will take the following action:</i></p>

	<p><b>a) For a staff member who is appointed for the first time under this Agreement and who has a two-year probationary period, the Supervisor shall provide two (2) months' written notice of his/her recommendation, which shall be one of the following:</b></p> <p><b>(i) that the staff member be granted a continuing appointment; or</b></p> <p><b>(ii) that the probationary appointment be extended by a period not to exceed one (1) year; or</b></p> <p><b>(iii) that no further appointment be offered to the staff member.</b></p> <p><b>b) For a staff member who has a reduced probationary period, the Supervisor shall provide one (1) month's written notice of his/her recommendation, which shall be one of the following:</b></p> <p><b>(i) that the staff member be granted a continuing appointment; or</b></p> <p><b>(ii) that the probationary appointment be extended by a period not to exceed six (6) months; or</b></p> <p><b>(iii) that no further appointment be offered to the staff member.</b></p>
<p>12.08 The Vice-President shall reach a decision and inform the staff member in writing at least one month prior to the last day of the probationary appointment either</p>	<p>12.08 The Supervisor shall forward the recommendation to the Vice-President.</p>



<p>that:</p> <ul style="list-style-type: none"> <li>a) the staff member shall be granted continuing appointment;</li> <li>b) that the probationary appointment shall be extended by a period not to exceed one year; or</li> <li>c) that no further appointment shall be offered to the staff member.</li> </ul>	
<p>12.09 Continuing appointment shall in no sense be the right of a staff member who has served the time of probation. The performance of the staff member during probation shall indicate that the staff member will in future be capable of contributing effectively in the performance of those responsibilities to the University.</p>	<p>12.09 The Vice-President shall reach a decision and inform the staff member in writing prior to the last day of the probationary appointment that:</p> <ul style="list-style-type: none"> <li>a) the staff member shall be granted a continuing appointment; or</li> <li>b) the probationary appointment shall be extended by a <i>period not to exceed one (1) year for a staff member who has a two-year probationary period or by six (6) months for a staff member who has a reduced probationary period</i>; or</li> <li>c) the probationary appointment shall be terminated <i>and no further appointment shall be offered to the staff member.</i></li> </ul>
<p>12.10 Where a continuing appointment is not offered (12.08 c), the staff member at the expiration of the then existing probationary appointment shall receive a severance payment equivalent to two months' salary (less any required deductions). If the probationary period has been extended beyond two years,</p>	<p>12.10 Continuing appointment shall in no sense be the right of a staff member who has served the time of probation. The performance of the staff member during probation shall indicate that the staff member will in future be capable of contributing effectively in the performance of his/her responsibilities to the University.</p>

<p>severance entitlement will be extended on a pro rata basis. The severance payment shall be at the same rate as if the staff member had continued on staff.</p>	
<p><b>Termination during probation</b></p> <p>12.11 A Supervisor may recommend and the Vice-President may terminate the probationary appointment of a staff member by giving one month's notice of such termination. Before acting on the recommendation the Vice-President shall provide to the staff member an opportunity to respond to the recommendation. The effective date of the termination shall be one month from the date of notice, but the assignment of responsibilities may cease as of the date of notice.</p>	<p><b>Termination during probation</b></p> <p><i>12.11 During the probationary period, a Supervisor may recommend and the Vice-President may approve the termination of the probationary appointment of a staff member by giving one month's written notice of such termination. The effective date of the termination shall be (1) month from the date of notice, but the assignment of responsibilities may cease as of the date of notice.</i></p>
<p>12.12 A staff member terminated under 12.11 shall receive a severance payment equivalent to two months' salary (less any required deductions)</p>	<p><i>12.12 If termination is recommended during, or at the end of probation, the Vice-President shall provide the staff member with an opportunity to respond before acting on the recommendation.</i></p>
	<p><b>Termination entitlements</b></p> <p><i>12.13 If a continuing appointment is not being offered (under 12.07 or 12.09) to a staff member whose first appointment to the University is under this Agreement, the staff member shall receive a severance payment equivalent to two (2) months' salary (less any required deductions). If the probationary period has been extended beyond two (2) years, severance entitlement will be extended on a pro rata basis. The severance</i></p>

	<p><i>payment shall be at the same rate as if the staff member had continued on staff.</i></p>
	<p><b>12.14</b> <i>If the staff member is not being offered a continuing appointment and he/she has previous continuous service in other appointments with the University, this service shall be taken into consideration in the determination of the severance payment.</i></p> <p><i>The staff member shall receive a severance payment (less required deductions) of one (1) month's salary for each year of continuous employment with a maximum payment of twelve (12) months' salary. Severance shall be based on the salary being earned on the last day of employment.</i></p>

DATED at the City of Edmonton, in the Province of Alberta, this \_\_\_\_ day of \_\_\_\_\_, 2011.

\_\_\_\_\_  
 Don Heth  
 President,  
 on behalf of the AASUA

\_\_\_\_\_  
 Witness

\_\_\_\_\_  
 Carl G. Amrhein  
 Provost & Vice-President (Academic),  
 on behalf of the University

\_\_\_\_\_  
 Witness

**OUTLINE OF ISSUE**

Agenda Title: **Access to Universal Student Ratings of Instruction (USRI)**

**Motion:** THAT the GFC Executive Committee approve, under delegated authority from General Faculties Council, proposed revisions to Section 111.3 (*Teaching and Learning and Teaching Evaluation/Universal Student Ratings of Instruction*) of the GFC Policy Manual, as recommended by the GFC Committee on the Learning Environment (CLE) and as set forth in Attachment 1, to be effective upon final approval.

**Item**

Action Requested	<input checked="" type="checkbox"/> Approval <input type="checkbox"/> Recommendation <input type="checkbox"/> Discussion/Advice <input type="checkbox"/> Information
Proposed by	Provost and Vice-President (Academic)
Presenters	Colleen Skidmore, Vice-Provost and Associate Vice-President (Academic); Bill Connor, Interim Vice-Provost (Academic) and Co-Chair, GFC Committee on the Learning Environment (CLE); and Kathleen Brough, Portfolio Initiatives Manager, Office of the Provost and Vice-President (Academic)
Subject	Access to On-line University Student Ratings of Instruction (USRI) and Proposed Changes to Section 111.3 of the GFC Policy Manual

**Details**

Responsibility	Provost and Vice-President (Academic)
The Purpose of the Proposal is (please be specific)	To clarify which members of the University community have access to the paper summaries of USRI data and the on-line summaries of USRI data.
The Impact of the Proposal is	Limited to those non-students who may have made a practice of accessing USRI data online in the past and who will now no longer have access to that information.
Replaces/Revises (eg, policies, resolutions)	GFC Policy Manual Section 111.3.h.
Timeline/Implementation Date	Upon final approval.
Estimated Cost	N/A
Sources of Funding	N/A
Notes	N/A

**Alignment/Compliance**

Alignment with Guiding Documents	<i>Dare to Discover, Dare to Deliver</i>
Compliance with Legislation, Policy and/or Procedure Relevant to the Proposal (please quote legislation and include identifying section numbers)	<p>1. <b>The Post-Secondary Learning Act (PSLA)</b>, Section 26(1), gives General Faculties Council (GFC) responsibility, subject to the authority of the Board of Governors, over “academic affairs.”</p> <p>2. <b>GFC Committee on the Learning Environment (CLE) Terms of Reference/Section 3 (Mandate of the Committee)</b>: “The Committee on the Learning Environment is a standing committee of the General Faculties Council that promotes an optimal learning environment in alignment with guiding documents of the University of Alberta.</p> <p>The Committee on the Learning Environment is responsible for making recommendations concerning policy matters and action matters with respect to the following:</p>



[...]

b) To review and, as necessary, recommend to the GFC Academic Planning Committee and GFC Executive Committee as relates to the development and implementation of policies on teaching, learning, teaching evaluation, and recognition for teaching that promote the University Academic Plan.

c) To develop policies that promote ongoing assessment of teaching and learning through all Faculties and units.

d) To nurture the development of innovative and creative teaching practices.

e) To encourage the sharing and discussion of evidence about effective teaching and learning.

[...]

h) To consider any matter deemed by the GFC Committee on the Learning Environment to be within the purview of its general responsibility.

Notwithstanding anything to the contrary in the terms of reference above, the General Faculties Council has delegated to the Committee on the Learning Environment the following powers and authority:

To recommend to the GFC Academic Planning Committee and to the GFC Executive Committee broad policy directions for excellence in teaching and learning.”

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

**“5. Agendas of General Faculties Council**

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

With respect to recommendations from other bodies and other GFC committees, [...] the role of the Executive Committee shall be to examine and debate the substance of reports or recommendations and to decide if an item is ready to be forwarded to the full governing body. The Executive Committee may decide to refer a proposal back to the originating body, to refer the proposal to another body or individual for study or review, or to take other action in order to ready a proposal for consideration by General Faculties Council. When the GFC Executive Committee forwards a proposal to GFC, it shall make a recommendation that GFC endorse; endorse with suggested amendments; not endorse; or forward the proposal with no comment.

[...]”

**4. GFC Policy: Section 3, GFC Executive Committee Terms of Reference (Mandate of the Committee),** states: “To act as the executive body of General Faculties Council and, in general, carry out the functions delegated to it by General Faculties Council.



	<p>1. Urgent Matters: The power to deal with any matters that cannot be deferred is delegated to the Executive Committee which shall determine which matters are to be considered urgent. (GFC 09 AUG 1966).</p> <p>2. Routine Matters: Matters which are routine in carrying out the policies approved by General Faculties Council are delegated to the Executive Committee.”</p>
--	---

**Routing** (Include meeting dates)

Consultative Route (parties who have seen the proposal and in what capacity)	USRI Subcommittee of the GFC Committee on the Learning Environment; Harry Davis, Information and Privacy Officer; Academic Information and Communication Technology (AICT); Vice-Provosts’ Meeting (VPM); Association of Academic Staff – University of Alberta (AASUA); Office of the Vice-President (Research)
Approval Route (Governance) (including meeting dates)	GFC Committee on the Learning Environment (October 5, 2011) – for recommendation; GFC Executive (November 7, 2011) – for final approval
Final Approver	GFC Executive Committee

Attachments (each to be numbered 1 - <>)

- Attachment 1 (pages 1 – 2): Proposed Changes to GFC Policy Manual Section 111.3 (*Teaching and Learning and Teaching Evaluation/Universal Student Ratings of Instruction*)

Prepared by: Kathleen Brough, Portfolio Initiatives Manager, Office of the Provost and Vice-President (Academic) ([kathleen.brough@ualberta.ca](mailto:kathleen.brough@ualberta.ca))

GFC Policy Manual Section 111.3 (University Student Ratings of Instruction)  
 Proposed Changes  
 September 27, 2011

<p>H.                  Parties having access to numerical summaries of the ten Universal Student Ratings of Instruction questions and student comments shall be the instructor the Chair, Director or Dean; members of Tenure Committees; and members of Faculty Evaluation Committees:</p> <p>For questions selected by an instructor, only the instructor shall receive the results. For questions initiated or mandated by a department or Faculty, the results will be reported to the instructor and the Chair, Director or Dean.</p> <p>Normally, instructors shall receive the results from the student ratings of instruction within twenty working days after the course is complete and the grade sheet has been signed by the Chair, Director or Dean.</p>	<p><i>No change until...</i></p> <p>H.  <u>i. Access to Printed USRI Data:</u> Parties having access to <u>printed</u> numerical summaries of the ten University Student Ratings of Instruction questions and student comments shall be the instructor; the Chair, Director or Dean <u>of the unit offering the course</u>; members of Tenure Committees; and members of Faculty Evaluation Committees, <u>including the secretary to the FEC.</u></p> <p>For questions selected by an instructor, only the instructor shall receive the results. For questions initiated or mandated by a department or Faculty, the results will be reported to the instructor and the Chair, Director or Dean.</p> <p>Normally, instructors shall receive the <u>printed</u> results from the student ratings of instruction within twenty working days after the course is complete and the grade sheet has been signed by the Chair, Director or Dean.</p> <p><u>ii. Access to Online USRI Data:</u> <u>Online access to the numerical summaries for the ten Universal Student Ratings of Instruction questions scores for all courses shall be provided to undergraduate and graduate students. Instructors shall have online access to USRI scores for their own courses. Chairs shall have online access to USRI scores for instructors in their departments and Deans shall have online access to USRI scores for instructors in their Faculties. Deans and Chairs may also request access for a designated assistant.</u></p> <p><u>The results will not be released online for at</u></p>
---	--

~~Numerical summaries for the ten Universal Student Ratings of Instruction questions shall be given to the Students' Union and the Graduate Students' Association. Results of additional selected questions and student comments shall not be made available to the Students' Union or the Graduate Students' Association.~~

~~The Students' Union and Graduate Students' Association acknowledge that the Universal Student Ratings of Instruction are intended only for use by University of Alberta students and shall not be made available to other parties. Neither the Students' Union nor the Graduate Students' Association shall undertake further analysis of the data. The results will be made available to students in paper and/or electronic form. The results will not be released in electronic form for at least ten days following the provision of the results to the instructor.~~

least ten days following the provision of the results to the instructor.

Access to online USRI data is provided to students only for the purpose of assisting with the selection of courses.

Neither the Students' Union nor the Graduate Students' Association shall undertake analysis of USRI data available to members of those organizations.



### OUTLINE OF ISSUE

Agenda Title: **Proposed Award for Excellence in Graduate Teaching Procedure (UAPPOL)**

**Motion:** THAT the GFC Executive Committee recommend to General Faculties Council the new (proposed) Award for Excellence in Graduate Teaching Procedure (and accompanying checklist), as recommended by the GFC University Teaching Awards Committee (UTAC) and as set forth in Attachment 1, to be effective upon final approval.

**Item**

Action Requested	<input type="checkbox"/> Approval <input checked="" type="checkbox"/> Recommendation <input type="checkbox"/> Discussion/Advice <input type="checkbox"/> Information
Proposed by	Provost and Vice-President (Academic)
Presenters	Colleen Skidmore, Vice-Provost and Associate Vice-President (Academic); Brenda Cameron, Chair, GFC University Teaching Awards Committee (UTAC); and Kathleen Brough, Portfolio Initiatives Manager, Office of the Provost and Vice-President (Academic)
Subject	New (Proposed) Award for Excellence in Graduate Teaching Procedure

**Details**

Responsibility	Provost and Vice-President (Academic)
The Purpose of the Proposal is (please be specific)	To propose a new procedure under the <i>Awards for Teaching Excellence Policy</i> to recognize those individuals who have demonstrated excellence in teaching at the graduate level.
The Impact of the Proposal is	See "Purpose".
Replaces/Revises (eg, policies, resolutions)	N/A
Timeline/Implementation Date	Upon final approval.
Estimated Cost	To be determined.
Sources of Funding	Provost and Vice-President (Academic).
Notes	N/A

**Alignment/Compliance**

Alignment with Guiding Documents	<i>Dare to Discover</i> and <i>Dare to Deliver</i>
Compliance with Legislation, Policy and/or Procedure Relevant to the Proposal (please <u>quote</u> legislation and include identifying section numbers)	<ol style="list-style-type: none"> <li><b>Post-Secondary Learning Act (PSLA):</b> The <i>PSLA</i> gives GFC responsibility, subject to the authority of the Board of Governors, over academic affairs (Section 26(1)) and to make rules and regulations respecting academic awards (Section 26(1)(m)).</li> <li><b>GFC Policy: Section 3, GFC University Teaching Awards Committee (UTAC) Terms of Reference,</b> states: "The University Teaching Awards Committee (UTAC) adjudicates the William Hardy Alexander Award for Excellence in Undergraduate Teaching, the Rutherford Awards for Excellence in Undergraduate Teaching and the Teaching Unit Award (see the <i>Awards for Teaching Excellence Policy</i> and procedures as posted in UAPPOL). (EXEC 03 MAY 2004)  UTAC has responsibility for reviewing the awards policies and criteria for the Rutherford, William Hardy Alexander, and Teaching Unit Awards, and for alerting the GFC Executive Committee of any problems with the policies governing these awards."</li> </ol>

	<p>In addition, GFC UTAC has been delegated the responsibility for reviewing the procedures associated with the Provost's Award for Early Achievement.</p> <p>3. <b>GFC Policy: Section 3(5), GFC Executive Committee Terms of Reference</b>, states: "With respect to recommendations from other bodies and other GFC committees [...] the role of the Executive Committee shall be to examine and debate the substance of reports or recommendations and to decide if an item is ready to be forwarded to the full governing body. The Executive Committee may decide to refer a proposal back to the originating body, to refer the proposal to another body or individual for study or review, or to take other action in order to ready a proposal for consideration by General Faculties Council. When the GFC Executive Committee forwards a proposal to GFC, it shall make a recommendation that GFC endorse; endorse with suggested amendments; not endorse; or forward the proposal with no comment."</p> <p>4. <b>GFC Policy: Section 3, GFC Executive Committee Terms of Reference (<i>Mandate of the Committee</i>)</b>, states: "To act as the executive body of General Faculties Council and, in general, carry out the functions delegated to it by General Faculties Council.</p> <p>1. Urgent Matters: The power to deal with any matters that cannot be deferred is delegated to the Executive Committee which shall determine which matters are to be considered urgent. (GFC 09 AUG 1966).</p> <p>2. Routine Matters: Matters which are routine in carrying out the policies approved by General Faculties Council are delegated to the Executive Committee."</p>
--	---

**Routing** (Include meeting dates)

Consultative Route (parties who have seen the proposal and in what capacity)	Faculty of Graduate Studies and Research (FGSR); Graduate Students' Association (GSA); Vice-Provosts' Meeting (VPM); Academic Awards and Ceremonies Office (AACO); University Governance; Association of Academic Staff – University of Alberta (AASUA)
Approval Route (Governance) (including meeting dates)	GFC University Teaching Awards Committee (October 7, 2011) – for recommendation; GFC Executive Committee (November 7, 2011) – for recommendation; General Faculties Council (November 28, 2011) – for final approval
Final Approver	General Faculties Council

Attachments (each to be numbered 1 - <>)

- Attachment 1 (pages 1 – 5): Proposed Award for Excellence in Graduate Teaching Procedure (and Nominator's Checklist)

*Prepared by:* Kathleen Brough, Portfolio Initiatives Manager, Office of the Provost and Vice-President (Academic)

Go to:	<a href="#">[Purpose]</a>	<a href="#">[PROCEDURE]</a>	<a href="#">[DEFINITIONS]</a>	<a href="#">[FORMS]</a>	<a href="#">[RELATED LINKS]</a>
--------	---------------------------	-----------------------------	-------------------------------	-------------------------	---------------------------------

This procedure is governed by its parent policy. Questions regarding this procedure should be addressed to the Office of Administrative Responsibility.

## Award for Excellence in Graduate Teaching Procedure

<b>Office of Administrative Responsibility:</b>	University Governance
<b>Approver:</b>	Provost and Vice-President (Academic)
<b>Scope:</b>	Compliance with University procedure extends to all members of the University community.

### Overview

The Award for Excellence in Graduate Teaching was instituted at the University of Alberta in 2011.

### Purpose

To provide the selection process, eligibility requirements and adjudication criteria for the Award for Excellence in Graduate Teaching at the University of Alberta. This award is intended to recognize graduate-level teaching excellence by **full-time continuing** academic staff (regardless of seniority), to publicize such excellence to the University and the wider community, to encourage the pursuit of such excellence, and to promote informed discussion of graduate teaching and its improvement at the University of Alberta

## PROCEDURE

### 1. ELIGIBILITY

Any individual who teaches graduate students at the University of Alberta as a full-time continuing member of the academic teaching staff (Category A1.1 or A1.5) is eligible. Nominees must have taught graduate students within the last 24 months of the date of nomination. If an eligible individual takes on a new position that places him/her in a different staff category, that individual will remain eligible for nomination for 24 months after his/her reclassification.

See *Recruitment Policy (Appendix A) Definition and Categories of Academic Staff and Colleagues* for definitions of academic staff.

Staff and students in any department that teaches graduate students are encouraged to submit nominations to their department Chair. Each department is allowed one nomination. The resubmission of nominations in subsequent years is welcomed.

### 2. NOMINATION

The documentation accompanying a nomination should provide specific supporting information addressing each of the criteria set out below (under the heading "Criteria for the Award"). In particular:

- a. Student assessments are required for evaluation of adjudication criteria 3.c, d, e, f, i and j. Student assessments should provide information about the quality of graduate teaching over a period of years.

Letters from graduate alumni are also valuable and provide information on the long-term effect of the nominee's teaching.

- b. **External peer** evaluations must be included with the nomination (see criterion 3.b). A minimum of one is required; however the GFC University Teaching Award Committee (UTAC) would prefer that two or three be submitted. Only the department Chair or Dean may solicit external evaluations. At least one such evaluation must come from a peer in a related field at another academic institution. Letters to external evaluators must advise such evaluators that their assessments will be kept confidential and that only the department Chair or Dean and the GFC UTAC will be privy to the information provided.

The external peer evaluations should be submitted in the original and must be current; they must not be excerpted or abridged. All documentation submitted to GFC UTAC must be in English. If material has been translated, the original document(s) must be included as appendices. (These appendices will not be included in the total page count.)

GFC UTAC feels that assessments by external evaluators are limited only by the amount of graduate teaching-related information submitted to them. Nominators are encouraged, therefore, to compile comprehensive graduate teaching materials for their candidates (e.g., course outlines, samples of handouts, examinations, assignments) so that external evaluators have adequate information to assess the nominee.

- c. Letters from colleagues regarding graduate teaching, course materials, range of graduate courses and activities related to teaching, are valuable for evaluation of adjudication criteria 3.a, g, h and j.
- d. A statement by the nominee explaining his/her graduate teaching philosophy is required. When preparing the graduate teaching philosophy statement, nominees are encouraged to describe not only the 'what' but especially the 'how' and the 'why' of their teaching.

The nomination, including documentation, must not exceed 20 pages. The pages GFC UTAC will consider must be consecutive and numbered 1 through 20 in the bottom right-hand corner; the Award Nominator's checklist (see link provided under FORMS below) must be included with the nomination as an unnumbered first page to each of the twelve (12) copies submitted. A title page and a table of contents must be submitted as unnumbered pages to each of the twelve (12) copies submitted. Nominations and all supporting documentation must be in a 12-point font. (NOTE: Anything more than 20 pages will be removed prior to distribution to GFC UTAC members. Any page where two pages have been reduced to one page will be counted as two pages.) Back-to-back copying of material is encouraged. The nominee's name must appear on the first page of the nomination. Nomination packages must be stapled in the top left-hand corner. Do not use cerlox binding, binders, or report covers.

Electronic signatures are acceptable.

Nomination packages must not include extensive course outlines, bibliographies, examinations, papers, etc. This is a graduate teaching award, so detailed information about graduate teaching and research publication is relevant; a very brief curriculum vitae is invited to be included within the 20-page limit. The package must include a brief executive summary prepared by the nominator(s) that outlines the key points upon which the nomination is based; this summary is included, as well, within the 20-page limit.

Twelve (12) copies of each nomination package must be submitted. The deadline for receipt of complete nomination packages is 4:00pm on the last Friday of February. There will be no discretion to extend the deadline. Please submit nominations to GFC UTAC, c/o Academic Awards and Ceremonies, Office of the Registrar, B19 Administration Building.

GFC UTAC recognizes that nominations from different departments and Faculties might vary considerably and takes this into account during its deliberations. Nominators requiring assistance and advice to prepare their nominations should consult the Faculty Awards Facilitator, Academic Awards and Ceremonies Office.

### 3. CRITERIA FOR THE AWARD

The adjudication criteria for the Award for Excellence in Graduate Teaching are set out below (not necessarily in order of importance) and nominations and documents should address these criteria as much as possible:

- a. Exhibits a consistently superior command of the subject matter.
- b. Demonstrates excellent planning and organization in graduate course outlines and objectives, reading and laboratory assignments, handouts, projects, grading schemes, examinations and all other material associated with graduate teaching.\*
- c. Instills vital interest in and enthusiasm for the subject on the part of students.
- d. Strongly encourages and fosters independent study.
- e. Generates a desire for continued learning.
- f. Strongly encourages students to be critical, to think independently and to solve problems.
- g. Presents the subject matter at an appropriate level of rigor.
- h. Demands that students have a comprehensive, coherent understanding of the subject matter.
- i. Consistently demonstrates a concern for student progress and is available and approachable for out-of-classroom consultation.
- j. Is a valuable resource for both students and colleagues.
- k. Contributes to curriculum development for the graduate program.
- l. Promotes and contributes to excellence in graduate teaching by collaborating with others within the University and/or with communities at large.

It is suggested that all nominees ensure all material submitted to support the application is current and pertains to the award the nominee is seeking.

\*External peer evaluations of criterion b are to be submitted with the nominations.

### 4. ADMINISTRATION OF THE AWARD.

The GFC UTAC will adjudicate the award.

Each year, up to three awards will be funded; at least one award will be given annually. No one individual is to receive the award more than once.

Following the GFC UTAC adjudication meeting, the Provost and Vice-President (Academic) or delegate will notify recipients by telephone call. Recipients will then receive formal written notification from the Chair of GFC UTAC.

Individual award recipients will be publicly recognized at a special reception, at *Celebrate! Teaching. Learning. Research.* and shall receive an appropriate memento.

## **DEFINITIONS**

Any definitions listed in the following table apply to this document only with no implied or intended institution-wide use. [▲Top](#)

<b>Full-Time Continuing</b>	Full-time academic staff (Categories A1.1 or A1.5) as defined in <i>Recruitment Policy (Appendix A) Definition and Categories of Academic Staff and Colleagues</i> in UAPPOL.
<b>External Peer</b>	A peer from an academic institution OTHER than the University of Alberta.

## **FORMS**

Should a link fail, please contact [uappol@ualberta.ca](mailto:uappol@ualberta.ca). [▲Top](#)

[Award for Excellence in Graduate Teaching Nominator's Checklist](#)

## **RELATED LINKS**

Should a link fail, please contact [uappol@ualberta.ca](mailto:uappol@ualberta.ca). [▲Top](#)

[Recruitment Policy \(Appendix A\) Definition and Categories of Academic Staff and Colleagues \(UAPPOL\)](#)

**GFC University Teaching Awards Committee (UTAC)**

**AWARD FOR EXCELLENCE IN GRADUATE TEACHING  
NOMINATOR'S CHECKLIST**

**NOMINEE'S NAME AND FACULTY:**

Yes/No		<b><u>CHECKLIST MUST BE COMPLETED AND INCLUDED WITH THE NOMINATION AS THE UNNUMBERED FIRST PAGE TO EACH OF THE TWELVE COPIES SUBMITTED</u></b>
	1.	Is the nominee a full-time continuing member of the academic teaching staff (Category A1.1 or A1.5) at the University of Alberta who has taught at the graduate level within the last 24 months?
	2.	Is the material supporting this nomination no more than twenty (20) regular-sized pages in length, is the font size of 12 point, are the pages numbered 1 through 20 in the bottom right-hand corner, and is the nomination package stapled in the top left-hand corner?
	3.	Does the nomination contain a table of contents (unnumbered page)?
	4.	Does the nomination include a brief executive summary, as described in this award's procedure?
	5.	Are external peer (a peer from an academic institution OTHER than the University of Alberta) evaluations included (at least one of which is from a peer in a related field at another academic institution)?
	6.	Is the nomination approved by the Dean or his/her designate? Please note that if the Dean is submitting a letter of support with the nomination it must appear as one of the 20 numbered pages.
	7.	Does the nominee's name appear on the first <u>numbered</u> page of the nomination?
	8.	Has this checklist been completed by indicating <i>yes</i> or <i>no</i> next to each question and attached as the <u>unnumbered first page</u> to each of the twelve copies being submitted?

### OUTLINE OF ISSUE

#### Agenda Title: **Proposed Revisions to the UAPPOL Centres and Institutes Policy and Associated Procedures**

**Motion:** THAT the GFC Executive Committee, under delegated authority from General Faculties Council, recommend to the Board of Governors proposed changes to the UAPPOL Centres and Institutes Policy and approve proposed changes to the Academic Centres and Institutes Establishment Procedure, the Academic Centres and Institutes Operation Procedure, and the Academic Centres and Institutes Termination Procedure, as submitted by the Office of the Provost and Vice-President (Academic) and as set forth in Attachment 1, with proposed changes to the Centres and Institutes Policy to take effect upon final approval by the Board of Governors and with proposed changes to the aforementioned Procedures to take effect upon final approval by the GFC Executive Committee.

**Note:** The proposed revisions to the Affiliated Centres and Institutes Establishment Procedure, the Affiliated Centres and Institutes Operation Procedure, the Affiliated Centres and Institutes Termination Procedure, and the Affiliated Centres and Institutes (Appendix A) Agreement Requirements are included herein for the information only of members of the GFC Executive Committee. The final approver of changes to these UAPPOL Procedures (and the accompanying 'Agreement Requirements') is the Provost and Vice-President (Academic).

#### Item

Action Requested	<input checked="" type="checkbox"/> Approval <input checked="" type="checkbox"/> Recommendation <input type="checkbox"/> Discussion/Advice <input type="checkbox"/> Information
Proposed by	Provost and Vice-President (Academic)
Presenter	Colleen Skidmore, Vice-Provost and Associate Vice-President (Academic); and Kathleen Brough, Portfolio Initiatives Manager, Office of the Provost and Vice-President (Academic)
Subject	Revisions to the Centres and Institutes Policy and associated Procedures (as set out in the University of Alberta Policies and Procedures On Line (UAPPOL))

#### Details

Responsibility	Provost and Vice-President (Academic)
The Purpose of the Proposal is (please be specific)	To approve changes to the UAPPOL Centres and Institutes Policy and its associated Procedures. Many of the changes are editorial. Some of the more substantial changes include revisions related to regular review, renewal, and review associated with perceived risk.
The Impact of the Proposal is	Minimal.
Replaces/Revises (eg, policies, resolutions)	UAPPOL Centres and Institutes Policy and associated Procedures.
Timeline/Implementation Date	Upon approval, as set out in the 'Motion' above.
Estimated Cost	N/A
Sources of Funding	N/A
Notes	N/A

#### Alignment/Compliance

Alignment with Guiding Documents	<i>Dare to Discover</i> (Learning, Discovery and Citizenship; Transformative Organization and Support) and <i>Dare to Deliver</i>
Compliance with Legislation, Policy and/or Procedure Relevant to the Proposal	1. <b>Post-Secondary Learning Act (PSLA):</b> The PSLA gives the Board of Governors the authority to "develop, manage and operate, alone or in co-operation with any person or organization, programs, services and



<p>(please <u>quote</u> legislation and include identifying section numbers)</p>	<p>facilities for the educational or cultural advancement of the people of Alberta” (Section 60(1)). Subject to the authority of the Board of Governors, the General Faculties Council has responsibility over “academic affairs” (Section 26(1)) and can “make recommendations to the board with</p> <ol style="list-style-type: none"> <li>1. respect to affiliation with other institutions” (Section 26(1)(o)). [...]”</li> </ol> <p><b>2. GFC Executive Committee Terms of Reference (Section 3 (Mandate of the Committee)):</b></p> <p style="padding-left: 40px;"><b>“5. Agendas of General Faculties Council</b></p> <p style="padding-left: 40px;">GFC has delegated to the Executive Committee the authority to decide which items are placed on a GFC Agenda, and the order in which those agenda items appear on each GFC agenda. [...]</p> <p style="padding-left: 40px;">With respect to recommendations from other bodies and other GFC committees, [...] the role of the Executive Committee shall be to examine and debate the substance of reports or recommendations and to decide if an item is ready to be forwarded to the full governing body. The Executive Committee may decide to refer a proposal back to the originating body, to refer the proposal to another body or individual for study or review, or to take other action in order to ready a proposal for consideration by General Faculties Council. When the GFC Executive Committee forwards a proposal to GFC, it shall make a recommendation that GFC endorse; endorse with suggested amendments; not endorse; or forward the proposal with no comment. [...]</p> <p><b>3. GFC Policy: Section 3, GFC Executive Committee Terms of Reference (Mandate of the Committee),</b> states: “To act as the executive body of General Faculties Council and, in general, carry out the functions delegated to it by General Faculties Council.</p> <ol style="list-style-type: none"> <li>1. Urgent Matters: The power to deal with any matters that cannot be deferred is delegated to the Executive Committee which shall determine which matters are to be considered urgent. (GFC 09 AUG 1966).</li> <li>2. Routine Matters: Matters which are routine in carrying out the policies approved by General Faculties Council are delegated to the Executive Committee.”</li> </ol>
--	---

**Routing (Include meeting dates)**

<p>Consultative Route (parties who have seen the proposal and in what capacity)</p>	<p>Vice-Provosts’ Meeting (VPM); Murray Gray, Faculty of Engineering (and Incoming Vice-Provost (Academic)); Office of General Counsel; Centres and Institutes Committee (CIC); Strategic Initiatives Group (SIG); Executive Planning Committee (EPC); President’s Executive Committee (PEC)</p>
<p>Approval Route (Governance)</p>	<p>GFC Executive Committee (November 7, 2011) – for recommendation to</p>

(including meeting dates)	the Board of Governors (Centres and Institutes Policy revisions) and for final approval (associated Academic Centres and Institutes Procedures); Board Learning and Discovery Committee (BLDC) (November 21, 2011) – for recommendation to the Board of Governors (Centres and Institutes Policy revisions only); Board of Governors (December 9, 2011) – for final approval (Centres and Institutes Policy revisions only)
Final Approver	See 'Approval Route'.

Attachments (each to be numbered 1 - <>)

1. Attachment 1 (pages 1 – 32): Proposed Revisions to the UAPPOL Centres and Institutes Policy and Associated Procedures

*Prepared by:* Kathleen Brough, Portfolio Initiatives Manager, Office of the Provost and Vice-President (Academic) (with assistance from University Governance)

<b>Go to:</b>	<a href="#">[Overview]</a>	<a href="#">[Purpose]</a>	<a href="#">[POLICY]</a>	<a href="#">[DEFINITIONS]</a>	<a href="#">[RELATED LINKS]</a>
This document is the parent policy for any associated procedures or appendices. Questions regarding this policy should be addressed to the Office of Administrative Responsibility.					

## Centres and Institutes Policy

<b>Office of Accountability:</b>	Provost and Vice-President (Academic)
<b>Office of Administrative Responsibility:</b>	Provost and Vice-President (Academic)
<b>Approver:</b>	Board of Governors and General Faculties Council
<b>Scope:</b>	Compliance with University policy extends to all members of the University community.

### Overview

There are two types of **centres** and **institutes** governed by this policy: **academic centres and institutes** and **affiliated centres and institutes**.

The Government of Alberta's *Post-Secondary Learning Act* gives the Board of Governors the authority to “develop, manage and operate, alone or in co-operation with any person or organization, programs, services and facilities for the educational or cultural advancement of the people of Alberta” (section 60(1)). Subject to the authority of the Board of Governors, the General Faculties Council has responsibility over “academic affairs” (section 26(1)) and can “make recommendations to the board with respect to affiliation with other institutions” (section 26(1)(o)).

### Purpose

This policy addresses academic and affiliated centres and institutes at the University of Alberta, in accordance with the University's mission.

## POLICY

### 1. ACADEMIC CENTRES AND INSTITUTES

The University of Alberta ~~shall~~ may create academic centres and institutes which ~~will~~ shall engage in scholarship and carry forward the mission of the University through specific attention to an area of study or research.

Each academic centre or institute will report to a Dean, except in exceptional circumstances and at the discretion of the Provost when an academic centre or institute may report directly to a Vice-President.

The Provost and Vice-President (Academic) shall have final authority in determining whether an academic centre or institute falls under this policy.

Academic centres and institutes shall highlight a department's, a Faculty's, and/or the University's expertise in an area.

### 2. AFFILIATED CENTRES AND INSTITUTES

The University of Alberta shall enter into affiliation agreements with third parties to create affiliated centres or institutes that engage in scholarship and carry forward the mission of the University through specific attention to an area of study or research.

All affiliation agreements for centres and institutes will be entered into in the name of the Governors of the University of Alberta and the Governors delegate final approval for all such affiliation agreements to the Executive Planning Committee.

Prior to entering into an affiliation agreement, appropriate advice will be sought from [legal-the Office of General Counsel](#) and [risk-Risk managementManagement Services](#).

The formal affiliation agreement must include the critical elements outlined in the *Affiliated Centres and Institutes (Appendix A) Agreement Requirements* and will ensure the risk to the University has been minimized.

## **DEFINITIONS**

Any definitions listed in the following table apply to this document only with no implied or intended institution-wide use. <a href="#">[▲ Top]</a>	
<b>Centres</b>	<p>A centre normally engages in study, research or other academic focus on a specific area of interest that is defined closely at its creation and would normally incorporate a commitment to conduct its activities beyond the scope of a single discipline.</p> <p>Centres are units or bodies not normally founded solely to conduct a <b>research project</b> before disbanding. They are to be distinguished from units called “centres” that do not have a mandate to engage in scholarship, for example units such as the Sexual Assault Centre or buildings such as the Van Vliet Physical Education and Recreation Centre.</p> <p>Centres often exist within the mandate of a single Faculty.</p>
<b>Institutes</b>	<p>An institute normally is broader in scope than a centre and engages in interdisciplinary and multidisciplinary research into a major area of interest to one or multiple Faculties.</p> <p>Institutes are entities not normally founded solely to conduct a research project before disbanding.</p> <p>Normally, an institute shall engage in multiple initiatives simultaneously and engage the talents of several different experts.</p>
<b>Academic Centre or Institute</b>	<p><a href="#">An academic centre or institute exists at the University of Alberta and is controlled by the University of Alberta.</a> An <a href="#">aAcademic cCentre</a> or <a href="#">iInstitute</a> may exist solely within the University of Alberta or may be created through a partnership between the university and other entities. Such other entities may include other universities, governments, public authorities (such as health authorities), and non-profit organizations. If an external corporate entity is involved in the <a href="#">cCentre</a> or <a href="#">iInstitute</a>, the process for managing conflict of interest and conflict of commitment must be reviewed. The University attaches the utmost value to academic freedom and scholarly integrity. Accordingly, <a href="#">aAcademic cCentres</a> and <a href="#">iInstitutes</a> shall not place any limits on these</p>

	<p>accepted principles of academic freedom and scholarly integrity.</p> <p>Centres or <del>i</del>nstitutes are not subsidiary companies, spin-off companies, societies created through non-university policies, or groups or corporations that lease University of Alberta space to achieve their own ends.</p> <p>Additionally, if the academic <del>c</del>Centre or <del>i</del>nstitute has a governing board, membership of the board is constituted such that the University of Alberta has <b>control</b>.</p>
<b>Affiliated Centre or Institute</b>	<p>An <del>a</del>Affiliated <del>c</del>Centre or <del>i</del>nstitute is created through a contractual or other legal arrangement with one or more third parties such as a joint venture, a corporation, a society, a partnership or other affiliation type arrangement by which a centre or institute is created which is not under the control of the University.</p> <p>The <del>c</del>Centre or <del>i</del>nstitute reports to a governing board that is external to the University of Alberta and for which the University does not have control. This <u>definition</u> would include centres and institutes <del>created through an agreement whether</del> located on or off the University's campuses, including national centres of excellence.</p> <p>In all cases, the required governance reviews and approvals must be obtained prior to contract execution.</p>
<b>Research Project</b>	<p>A research project exists to fulfill the obligations of the funding grant, and as such, has a beginning and end date. The Principal Investigators within the research project are University of Alberta researchers.</p>
<b>Control</b>	<p><u>Majority of voting shares and/or ability to appoint the majority of directors.</u><del>The continuing power to determine the strategic operating and financing policies without the cooperation of others.</del></p>

## **RELATED LINKS**

Should a link fail, please contact [uappol@ualberta.ca](mailto:uappol@ualberta.ca). [[▲ Top](#)]

[Academic Centres and Institutes](#) (University of Alberta)

[Naming Policy](#) (University of Alberta)

[Post-Secondary Learning Act](#) (Government of Alberta)

Go to:	<a href="#">[Purpose]</a>	<a href="#">[PROCEDURE]</a>	<a href="#">[DEFINITIONS]</a>	<a href="#">[FORMS]</a>	<a href="#">[RELATED LINKS]</a>
This procedure is governed by its parent policy. Questions regarding this procedure should be addressed to the Office of Administrative Responsibility.					

## Academic Centres and Institutes Establishment Procedure

<b>Office of Administrative Responsibility:</b>	Provost and Vice-President (Academic)
<b>Approver:</b>	GFC Executive Committee
<b>Scope:</b>	Compliance with University procedure extends to all members of the University community.

### Overview

This procedure applies to all **academic centres and institutes**. It does not apply to **affiliated centres and institutes**, nor shall it apply to research consortia that are created to fulfill the mandate of a research grant.

### Purpose

To outline the University's requirements for establishing academic centres and institutes.

## **PROCEDURE**

### 1. PROPOSAL

[A University of Alberta Template for Proposals to Establish New Academic Centres and Institutes can be accessed from Forms \(below\). Proposals will be written using the template provided and submitted to the Office of the Provost and Vice-President \(Academic\) for assessment. Proposers are encouraged to consult the Office of the Provost and Vice-President \(Academic\) in advance.](#) All proposals for the establishment of academic centres and institutes should normally contain the following:

- a) The name and detailed purpose of the unit; [and the name and signature of the Reporting Dean;](#)
- ~~b) A statement of the priority of the unit within the overall priorities of the Faculty and/or University, and a statement of the benefits the University of Alberta could expect to receive through the creation of the academic centre or institute;~~

~~Termination plans must include details of any financial encumbrances, physical resources, or effect on teaching or other dissemination obligations.~~

- ~~c) A statement of the priority of the unit within the overall priorities of the Faculty and/or University, and a statement of the benefits the University of Alberta could expect to receive through the creation of the academic centre or institute;~~
- [b\) A description of governance structure and reporting lines \(including a diagram of organizational structure\).](#)
- ~~d) c) A statement of the role and qualifications of the [chief officer\(s\) centre/institute lead and/or the chief administrative officer, if applicable,](#) of the proposed academic centre or institute;~~

- d) A statement of the employment status of those working for the proposed academic centre or institute (i.e., are they University of Alberta employees?);
- e) A detailed budget with projections over three to five years;
- e)f) Physical space requirements;
- f)g) Letters of support from relevant on- and off-campus sources, including from each of the Deans of all Faculties affiliated with and affected by the proposed academic centre or institute;
- g)h) An exigency plan for termination dissolution of the academic centre or institute: if physical and/or financial resources will remain upon termination, a plan for consultation with donors or agencies associated with the centre or institute must be included in the terminationdissolution plan.
- h)i) A clear definition of the status of the academic centre or institute as a University unit or body or a University/partner unit or body;
- i)j) If applicable, any agreements and/or memoranda of understanding between the University of Alberta and its partner(s) to establish, fund, and operate the academic centre or institute;
- j)k) A provision for annual reporting to the Reporting Dean or Vice-President and a provision for an annual declaration to the Office of the Provost and Vice-President (Academic);;
- k)l) A provision for strategic and operational review, to occur no less frequently than every five years, and a clear statement of who shall perform such reviews;
- m) A statement of potential risks inherent in the activities of the proposed academic centre or institute and what steps would be taken to address them;
- l)n) A statement of provision for dealing with intellectual property;
- o) An outline of the centre or institute's academic contributions to the University.

## 2. ESTABLISHMENT

All proposals for establishment of academic centres and institutes shall be submitted initially to the Provost and Vice-President (Academic) for assessment. ~~The Strategic Initiatives Group (SIG) shall review operational details (e.g. budget, space) for the proposed centre or institute and suggest revisions or recommend clarification as needed.~~ Proposals deemed to be in good order will be forwarded by the proposer(s) to the GFC Academic Planning Committee (APC) for final approval.

When the University of Alberta forms a partnership with another entity in creating an academic centre or institute, full approval processes must be followed with all partner entities prior to operation.

Proposed academic centres and institutes shall not operate prior to receipt of notice of approval.

All academic centres and institutes operating existing but not approved by APC shall come into compliance immediately or be considered for closure.

## **DEFINITIONS**

Any definitions listed in the following table apply to this document only with no implied or intended institution-wide use. [▲Top](#)

<b>Academic Centre or Institute</b>	<u>An academic centre or institute exists at the University of Alberta and is controlled by the University of Alberta</u> . An <u>aAcademic cCentre</u> or <u>iInstitute</u> may exist solely within the University of Alberta or may be created through a partnership between the university and other entities. Such other entities may include other universities,
-------------------------------------	---

	<p>governments, public authorities (such as health authorities), and non-profit organizations. If an external corporate entity is involved in the <u>c</u>Centre or <u>i</u>Institute, the process for managing conflict of interest and conflict of commitment must be reviewed. The University attaches the utmost value to academic freedom and scholarly integrity. Accordingly, <u>a</u>Academic <u>c</u>Centres and <u>i</u>Institutes shall not place any limits on these accepted principles of academic freedom and scholarly integrity.</p> <p>Centres or Institutes are not subsidiary companies, spin-off companies, societies created through non-university policies, or groups or corporations that lease University of Alberta space to achieve their own ends.</p> <p>Additionally, if the academic <u>c</u>Centre or <u>i</u>Institute has a governing board, membership of the board is constituted such that the University of Alberta has <b>control</b>.</p>
<b>Affiliated Centre or Institute</b>	<p>An <u>a</u>Affiliated <u>c</u>Centre or <u>i</u>Institute is created through a contractual or other legal arrangement with one or more third parties such as a joint venture, a corporation, a society, a partnership or other affiliation type arrangement by which a centre or institute is created which is not under the control of the University.</p> <p>The <u>c</u>Centre or <u>i</u>Institute reports to a governing board that is external to the University of Alberta and for which the University does not have control. This <u>definition</u> would include centres and institutes <u>created through an agreement whether</u> located on or off the University's campuses, including national centres of excellence.</p> <p>In all cases, the required governance reviews and approvals must be obtained prior to contract execution.</p>
<b><u>Reporting Dean</u></b>	<u>The Dean of the Faculty to which a centre or institute reports. In the case where multiple Deans are associated with a centre or institute, one Dean will be deemed to be the reporting Dean.</u>
<b><u>Centre/Institute Lead</u></b>	<u>The individual responsible for overall reporting for a centre or institute.</u>
<b>Control</b>	<u>The continuing power to determine the strategic operating and financing policies without the cooperation of others. Majority of voting shares and/or ability to appoint the majority of directors.</u>

## **FORMS**

Should a link fail, please contact [uappol@ualberta.ca](mailto:uappol@ualberta.ca). [[▲ Top](#)]

[University of Alberta Template for Proposals to Establish New Academic Centres and Institutes](#)

## **RELATED LINKS**

Should a link fail, please contact [uappol@ualberta.ca](mailto:uappol@ualberta.ca). [[▲ Top](#)]

[Academic Centres and Institutes](#) (University of Alberta)



[Naming Policy](#) (University of Alberta)

## University of Alberta Template for Proposals to Establish New Academic Centres and Institutes

Proposers will complete and submit this template to the Office of the Provost for approval in accordance with UAPPOL Policy. This template is expandable ; the completed template may be up to 8 to 10 pages in length (not including letters of support or other appendices relevant to the proposal). Before developing a proposal and completing this template, please review the UAPPOL Centres and Institutes Policy, as well as associated procedures for academic centres and institutes – [www.uappol.ualberta.ca](http://www.uappol.ualberta.ca) .

1.	<p><b>Name and Faculty of Reporting Dean:</b></p> <table border="1" style="width: 100%; height: 60px; margin-top: 10px;"> <tr> <td style="width: 75%; padding: 5px;">Signature:</td> <td style="width: 25%; padding: 5px;">Date:</td> </tr> </table>	Signature:	Date:
Signature:	Date:		
2.	<p><b><u>Name and Detailed Purpose of the Proposed Centre or Institute:</u></b></p>		
3.	<p><b><u>Provide a statement of the priority of the proposed centre or institute within the overall priorities of the Faculty and/or the University of Alberta. Include a statement of benefits the University of Alberta could expect to receive through creation of the proposed centre or institute, including benefits to students.</u></b></p>		
4.	<p><b><u>Provide a description of the proposed centre/institute governance structure/reporting lines. Include a diagram of organizational structure.</u></b></p>		
5.	<p><b><u>Provide a statement of the role and qualifications of the centre/institute lead of the proposed centre or institute.</u></b></p>		
6.	<p><b><u>Employees</u></b></p> <ul style="list-style-type: none"> <li>a) Provide a statement of the employment status of employees (i.e., are they University of Alberta employees?)</li> <li>b) Specific source(s) of any “University funding” must be identified</li> <li>c) Personnel expenditures must include adequate provisions for benefit costs, salary settlements, and other escalating factors.</li> </ul>		
7.	<p><b><u>Detailed Budget</u></b></p> <ul style="list-style-type: none"> <li>a) Include key sources of operating funds, and include revenue sources and expenditures for [ideally] 5 years projected.</li> <li>b) State specific source(s) of any “University funding”</li> <li>c) personnel expenditures must include adequate provisions for benefit costs</li> <li>d) escalation factors must be built into expenditure projections (i.e. escalation due to inflation, future salary settlements, etc.)</li> <li>e) if in-kind support is identified, the specifics of that support must be listed separately</li> </ul>		
8.	<p><b><u>Space Requirements.</u></b></p> <p>Space required?      Yes <input type="checkbox"/>    No <input type="checkbox"/></p> <p>If “No” selected, where is current space? _____</p>		

	<p>If "Yes" selected, complete the following:</p> <p><input type="checkbox"/> On-site at the University of Alberta</p> <p><input type="checkbox"/> Awaiting allocation</p> <p><input type="checkbox"/> Rent/lease required</p> <p>If rent/lease is required, has this been budgeted for? Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>Is funding required? Yes <input type="checkbox"/> No <input type="checkbox"/> Reasons: _____</p> <p>Address the following questions:</p> <p>a) If rent/lease or license is required, what is the University of Alberta's commitment?</p> <p>b) If new space or modifications to existing space are required, has Facilities and Operations been contacted and has this been included in the budget?</p>
9.	<p><b><u>Equipment</u></b></p> <p>a) Identify any existing equipment (major or minor), where the equipment is located and who owns the equipment.</p> <p>b) If additional equipment is required, where will it be located, who will purchase?</p>
10.	<p><b><u>Potential Risks to the University of Alberta</u></b></p> <p>a) State any reputational, financial, and/or operational risks to the University of Alberta.</p> <p>b) Outline plans to mitigate/manage those risks.</p> <p>c) Risk Management Services may be consulted.</p>
11.	<p><b><u>Annual Reporting and Strategic Review: In accordance with UAPPOL Policy</u></b></p> <p>a) State a provision for annual reporting to the Reporting Dean</p> <p>b) State a provision for annual reporting to the Office of the Provost</p> <p>c) State a provision for strategic and operational review by the Reporting Dean (or delegate) at no less frequency than every five years.</p>
12.	<p><b><u>Intellectual Property (IP) and Copyright</u></b></p> <p>a) Will any copyright or patentable IP be created, and if so, how will it be handled?</p> <p>b) How will ownership and commercialization of IP be handled?</p>
13.	<p><b><u>Termination Plan/Provisions</u></b></p> <p>a) Exigency plan for termination: If physical and/or financial resources will remain upon termination, a plan for consultation with donors or agencies associated with the centre or institute must be included in the dissolution plan.</p>
14.	<p><b><u>Letters of Support:</u></b> Attach letters from relevant on- and off-campus sources</p>
15.	<p>Provide, if applicable, any <b><u>agreements and/or memoranda of understanding between the University of Alberta and its partner(s)</u></b> to establish, fund and operate the proposed academic centre or institute</p>

G:\AD02\CEN\Templates.Examples.checklists.CIC\ProposalTemplate.Academic.CentresandInstitutes.post.CIC.26Apr11.docx

Go to:	<a href="#">[Purpose]</a>	<a href="#">[PROCEDURE]</a>	<a href="#">[DEFINITIONS]</a>	<a href="#">[FORMS]</a>	<a href="#">[RELATED LINKS]</a>
This procedure is governed by its parent policy. Questions regarding this procedure should be addressed to the Office of Administrative Responsibility.					

## Academic Centres and Institutes Operation Procedure

<b>Office of Administrative Responsibility:</b>	Provost and Vice-President (Academic)
<b>Approver:</b>	GFC Executive Committee
<b>Scope:</b>	Compliance with University procedure extends to all members of the University community.

### Overview

This procedure applies to all **academic centres and institutes**. This procedure does not apply to **affiliated centres and institutes**, nor shall it apply to research consortia that are created to fulfill the mandate of a research grant

### Purpose

To outline University requirements for the operation of academic centres or institutes.

## **PROCEDURE**

### 1. ANNUAL REPORTING TO THE FACULTY OR UNIT

All academic centres and institutes must prepare and submit annual reports. ~~Annual reports are to be directed to the relevant to the Reporting Dean(s)~~ (for most ~~units~~ centres and institutes) or Vice-President (for a small number of ~~units~~ centres and institutes that report directly to a Vice-President). The ~~relevant~~ Reporting Deans and Vice-Presidents shall ~~annually declare~~ submit an annual declaration to the Provost's Office listing which units have provided reports and which have not.

Annual reports shall detail:

- objectives of the academic centre or institute and whether they continue to align with University priorities.
- the activities undertaken in the previous year;
- how those activities supported the goals; and
- the centre or institute's financial report for the fiscal year.
- ~~— objectives of the academic centre or institute and whether they continue to align with University priorities.~~

### 2. ANNUAL REPORTING-DECLARATION TO THE PROVOST'S OFFICE

The Provost's Office will ensure that all academic units are catalogued and that the contact information for the centre/institute lead of each unit is kept current.

All academic centres and institutes must annually declare the following to the Provost's Office for the purposes of record-keeping:

- The name and contact information for the centre/institute lead and, if applicable, for the chief administrative officer for the academic centre/institute.
- The names of all members of any boards or advisory committees, if applicable; and
- The names of all affiliated Faculties;
- ~~The name and contact information for the director and, if applicable, for the chief administrative officer for the academic centre/institute.~~

~~The Provost's Office will ensure that all affiliated units are catalogued and that the contact information for the **Chief Officer** of each unit is kept up to date.~~

### 3. PROPOSALS FOR **MAJOR CHANGES** TO ACADEMIC CENTRES OR INSTITUTES

All proposals for major changes to academic centres and institutes ~~the renaming of an academic centre or institute, or change in legal status, affiliation or substantial change to strategic direction of a centre or institute~~ shall be submitted to the Academic Planning Committee (APC) for approval. Where there is a question or dispute regarding whether or not a proposed change to a centre or institute is major, the Provost and Vice-President (Academic) will make the determination after consulting with the Vice-President (Research) and other appropriate parties.

### 4. ANNUAL REPORTING BY ACADEMIC PLANNING COMMITTEE TO GENERAL FACULTIES COUNCIL

All approvals and re-namings of academic centres and institutes must be included in APC's annual report to General Faculties Council.

### 5. FIVE-YEAR STRATEGIC REVIEW AND RENEWAL

The Reporting Dean and/or Vice-President shall ensure that all academic centres and institutes under his or her purview undergo and report on strategic and operational reviews at least every five years.

Academic centre and institute renewal is dependent upon the determination by the Reporting Dean and/or Vice-President, based on annual reporting and strategic and operational reviews, that:

- the centre or institute has made a demonstrated contribution to the mission of the University beyond what is possible by the department/Faculty in which the academic centre or institute is housed;
- the centre or institute continues to be financially viable/sustainable; and
- significant risk, if identified, as been mitigated or addressed.

If, at any point, any of these three conditions is no longer being met, then termination procedures may be initiated for the centre or institute.

### 6. RISK REVIEW

The Executive Planning Committee (EPC) or the President's Executive Committee (PEC) may, at any time, request and review the annual report of an academic centre or institute to assess the risk to the University associated with the unit. As a result of this review, EPC or PEC may request that the centre/institute lead investigate and address the perceived risk in a report back to the committee that made the request.

## **DEFINITIONS**

Any definitions listed in the following table apply to this document only with no implied or intended
---

institution-wide use. <a href="#">▲Top</a>	
<b>Academic Centre or Institute</b>	<p><a href="#">An academic centre or institute exists at the University of Alberta and is controlled by the University of Alberta.</a> An <a href="#">aAcademic cCentre</a> or <a href="#">iInstitute</a> may exist solely within the University of Alberta or may be created through a partnership between the university and other entities. Such other entities may include other universities, governments, public authorities (such as health authorities), and non-profit organizations. If an external corporate entity is involved in the <a href="#">cCentre</a> or <a href="#">iInstitute</a>, the process for managing conflict of interest and conflict of commitment must be reviewed. The University attaches the utmost value to academic freedom and scholarly integrity. Accordingly, <a href="#">aAcademic cCentres</a> and <a href="#">iInstitutes</a> shall not place any limits on these accepted principles of academic freedom and scholarly integrity.</p> <p>Centres or <a href="#">iInstitutes</a> are not subsidiary companies, spin-off companies, societies created through non-university policies, or groups or corporations that lease University of Alberta space to achieve their own ends.</p> <p>Additionally, if the academic <a href="#">cCentre</a> or <a href="#">iInstitute</a> has a governing board, membership of the board is constituted such that the University of Alberta has <b>control</b>.</p>
<b>Affiliated Centre or Institute</b>	<p>An <a href="#">aAffiliated cCentre</a> or <a href="#">iInstitute</a> is created through a contractual or other legal arrangement with one or more third parties such as a joint venture, a corporation, a society, a partnership or other affiliation type arrangement by which a centre or institute is created which is not under the control of the University.</p> <p>The <a href="#">cCentre</a> or <a href="#">iInstitute</a> reports to a governing board that is external to the University of Alberta and for which the University does not have control. This <a href="#">definition</a> would include centres and institutes <a href="#">created through an agreement whether</a> located on or off the University's campuses, including national centres of excellence.</p> <p>In all cases, the required governance reviews and approvals must be obtained prior to contract execution.</p>
<b><a href="#">Reporting Dean</a></b>	<a href="#">The Dean of the Faculty to which a centre or institute reports. In the case where multiple Deans are associated with a centre or institute, one Dean will be deemed to be the Reporting Dean.</a>
<b><a href="#">Centre/Institute Lead</a></b>	<a href="#">The individual responsible for overall reporting for a centre or institute.</a>
<b><a href="#">Major Changes</a></b>	<a href="#">Changes that include, but are not limited to, the functional renaming of an academic centre or institute, change in legal status or affiliation or substantial change to strategic direction of a centre or institute. Note that philanthropic or honorific renaming will be approved subject to the Naming Policy and associated procedures.</a>
<b><a href="#">Chief Officer</a></b>	<a href="#">The academic leader of the centre or institute. This individual is responsible for budget and expenditure reporting.</a>

**Control**

~~The continuing power to determine the strategic operating and financing policies without the cooperation of others.~~ Majority of voting shares and/or ability to appoint the majority of directors.

**FORMS**

Should a link fail, please contact [uappol@ualberta.ca](mailto:uappol@ualberta.ca). [[▲ Top](#)]

[Academic Centres and Institutes – Annual Declaration to be Provided to the Office of the Provost](#)

[Academic Centres and Institutes – Five Year Review](#)

**RELATED LINKS**

Should a link fail, please contact [uappol@ualberta.ca](mailto:uappol@ualberta.ca). [[▲ Top](#)]

[Academic Centres and Institutes](#) (University of Alberta)

[Naming Policy](#) (University of Alberta)

**ACADEMIC CENTRES AND INSTITUTES – ANNUAL DECLARATION  
TO BE PROVIDED TO THE OFFICE OF THE PROVOST**

**Compliance with University Policy extends to all members of the University Community. The UAPPOL Centres and Institutes Policy, Operation Procedure for Academic Centres states the following:**

The Provost's Office will ensure that all academic units are catalogued and that the contact information for the **centre/institute lead** of each unit is kept current.

All academic centres and institutes must annually declare the following to the Provost's Office:

- The name and contact information for the centre/institute lead and, if applicable, for the chief administrative officer for the academic centre/institute;
- The names of all members of any boards or advisory committees, if applicable; and
- The names of all affiliated Faculties (if applicable).

ACADEMIC CENTRES AND INSTITUTES – ANNUAL DECLARATION TO THE PROVOST'S OFFICE	
Name of Centre or Institute	
Date of Declaration :	
Reporting Dean: Name:	Signature:
The name and contact information for the <b>centre/institute lead</b> and, if applicable, for the chief administrative officer for the academic centre/institute (include UofA mailing address, e-mail address and phone)	
Members of any Boards or Advisory Committees	
Affiliated Faculties (if any)	

G:\AD02\CEN\Templates.Examples.checklists  
CIC\Template.Annual.DeclarationtoProvost.Academic.CentresInstitutes.postCIC26April11.docx



**FACULTY OF <>**  
**<Name of Academic Centre or Institute>**  
**Five-Year Review 20<> to 20<>**

UAPPOL Centres and Institutes Policy, Academic Centres and Institutes Operation Procedure Section 5. (Five-Year Strategic Review) states that “The Reporting Dean shall ensure that all academic centres and institutes under his or her purview undergo and report on strategic and operational reviews at least every five years.” ([www.uappol.ualberta.ca](http://www.uappol.ualberta.ca))

*To be completed by the Centre/Institute Lead and submitted to the Reporting Dean.  
This form is expandable. Please enter text in the boxes below each heading.  
A response is required for each question.*

<b>1. Name of Academic centre/institute.</b>
<b>2. Name of Academic centre/institute Lead (as defined by UAPPOL Policy as the individual responsible for overall reporting for a centre or institute).</b>
<b>3. <input type="checkbox"/> The centre/institute is still active: go to item 4) below</b>  <input type="checkbox"/> The centre/institute is no longer active: go to item 13) in the form
<b>4. <input type="checkbox"/> The centre/institute has been officially approved by the University of Alberta in accordance with UAPPOL Academic Centres and Institutes Establishment Procedure</b>  <input type="checkbox"/> The centre/institute has not been officially approved but approval as a centre will be sought (expected date of submission for approval <>).  <input type="checkbox"/> The centre/institute has not been officially approved and a request will be made to have it reclassified as a research group  <input type="checkbox"/> The official University of Alberta status of this centre is not known
<b>5. List of centre/institute academic members.</b>
<b>6. Brief summary of the centre/institute’s purpose and objectives/strategic and operational goals.</b>
<b>7. Overview of activities including a description of how the centre/institute meets or otherwise interacts on a regular basis (1.0 pages maximum). Please highlight any interfaculty initiatives.</b>

<b>8. Contributions to teaching and training (0.5 pages maximum).</b>
<b>9. Describe any research core services operated by the centre/institute including a description of users (e.g. centre/institute members only, other Faculty members, others).</b>
<b>10. Financial – provide a financial statement (including revenue and expenses) covering the period under review (ie. last five years).</b>
<b>11. In-kind Support – provide a description on any significant in-kind support received from any source over the period under review (e.g. administrative support, space, website support).</b>
<b>12. Additional comments: please provide any additional information as desired.</b>
<b>13. This centre is no longer active. Please provide a summary of why this centre is no longer active (e.g. has been assimilated into another centre) and whether you see any prospect of it becoming active again in the near future.</b>

Questions regarding completion this report can be addressed to <>, Office of the Dean, Faculty of <>. Please submit a completed report in electronic format to <>, at <email address>..

**Centre or Institute Lead/Director**

\_\_\_\_\_  
Name and Title

\_\_\_\_\_  
Date Submitted

Go to:	<a href="#">[Purpose]</a>	<a href="#">[PROCEDURE]</a>	<a href="#">[DEFINITIONS]</a>	<a href="#">[FORMS]</a>	<a href="#">[RELATED LINKS]</a>
This procedure is governed by its parent policy. Questions regarding this procedure should be addressed to the Office of Administrative Responsibility.					

## Academic Centres and Institutes Termination Procedure

<b>Office of Administrative Responsibility:</b>	Provost and Vice-President (Academic)
<b>Approver:</b>	General Faculties Council (GFC Executive Committee)
<b>Scope:</b>	Compliance with University procedure extends to all members of the University community.

### Overview

This procedure applies to all **academic centres and institutes**. This procedure does not apply to **affiliated centres and institutes**, nor shall it apply to research consortia that are created to fulfill the mandate of a research grant.

### Purpose

To outline University requirements for the termination of academic centres and institutes.

## **PROCEDURE**

### 1. SUSPENSION OF OPERATION

In consultation with the relevant Dean(s), the Provost and Vice-President (Academic) may suspend the operation of any academic centre or institute at any time. In such cases, the Provost and Vice-President (Academic) must at the earliest opportunity inform the Academic Planning Committee (APC) of the suspension of activity and the reasons for doing so. Prior to the ~~suspension~~[termination or suspension](#) of an academic centre or institute, consideration must be given to the impact this would have on any agreements that have been entered into with third parties.

### 2. TERMINATION

Termination of academic centres and institutes shall occur by one of two means:

- by resolution of APC on the recommendation of the ~~Centre~~[Centre/Institute](#) ~~institute~~ [Reporting Dean](#), or the University Administration;
- by lack of submission of annual reports [to the Reporting Dean](#) for a period of two consecutive years. In such cases, the University Administration shall inform APC of the relevant unit's ~~failure to report inactivity~~ and notice of closure.

Termination plans must include details of any financial encumbrances, physical resources, or effect on teaching or other dissemination obligations.

The termination of an academic centre or institute must be included in APC's annual report to General Faculties Council.

## DEFINITIONS

Any definitions listed in the following table apply to this document only with no implied or intended institution-wide use. [\[▲Top\]](#)

<p><b>Academic Centre or Institute</b></p>	<p><u>An academic centre or institute exists at the University of Alberta and is controlled by the University of Alberta.</u> An <del>A</del>academic <del>C</del>centre or <del>i</del>nstitute may exist solely within the University of Alberta or may be created through a partnership between the university and other entities. Such other entities may include other universities, governments, public authorities (such as health authorities), and non-profit organizations. If an external corporate entity is involved in the <del>C</del>centre or <del>i</del>nstitute, the process for managing conflict of interest and conflict of commitment must be reviewed. The University attaches the utmost value to academic freedom and scholarly integrity. Accordingly, <del>a</del>Academic <del>c</del>Centres and <del>i</del>nstitutes shall not place any limits on these accepted principles of academic freedom and scholarly integrity.</p> <p>Centres or <del>i</del>nstitutes are not subsidiary companies, spin-off companies, societies created through non-university policies, or groups or corporations that lease University of Alberta space to achieve their own ends.</p> <p>Additionally, if the academic <del>c</del>Centre or <del>i</del>nstitute has a governing board, membership of the board is constituted such that the University of Alberta has <b>control</b>.</p>
<p><b>Affiliated Centre or Institute</b></p>	<p>An <del>a</del>Affiliated <del>c</del>Centre or <del>i</del>nstitute is created through a contractual or other legal arrangement with one or more third parties such as a joint venture, a corporation, a society, a partnership or other affiliation type arrangement by which a centre or institute is created which is not under the control of the University.</p> <p>The <del>c</del>Centre or <del>i</del>nstitute reports to a governing board that is external to the University of Alberta and for which the University does not have control. This <u>definition</u> would include centres and institutes <del>created through an agreement whether</del> located on or off the University's campuses, including national centres of excellence.</p> <p>In all cases, the required governance reviews and approvals must be obtained prior to contract execution.</p>
<p><u>Reporting Dean</u></p>	<p><u>The Dean of the Faculty to which a centre or institute reports. In the case where multiple Deans are associated with a centre or institute, one Dean will be deemed to be the reporting Dean.</u></p>
<p><b>Control</b></p>	<p><del>The continuing power to determine the strategic operating and financing policies without the cooperation of others.</del> <u>Majority of voting shares and/or ability to appoint the majority of directors.</u></p>

## FORMS

There are no forms for this Procedure. [\[▲Top\]](#)

## **RELATED LINKS**

Should a link fail, please contact [uappol@ualberta.ca](mailto:uappol@ualberta.ca). [[▲ Top](#)]

[Academic Centres and Institutes](#) (University of Alberta)

Go to:	<a href="#">[Purpose]</a>	<a href="#">[PROCEDURE]</a>	<a href="#">[DEFINITIONS]</a>	<a href="#">[FORMS]</a>	<a href="#">[RELATED LINKS]</a>
This procedure is governed by its parent policy. Questions regarding this procedure should be addressed to the Office of Administrative Responsibility.					

## Affiliated Centres and Institutes Establishment Procedure

<b>Office of Administrative Responsibility:</b>	Office of the Provost and Vice-President (Academic)
<b>Approver:</b>	Provost and Vice-President (Academic)
<b>Scope:</b>	Compliance with University procedure extends to all members of the University community.

### Overview

This procedure applies to all **affiliated centres and institutes**. This procedure does not apply to **academic centres and institutes**, nor shall it apply to research consortia that are created to fulfill the mandate of a research grant.

### Purpose

To outline the steps necessary for establishing an affiliated centre or institute.

## **PROCEDURE**

### 1. PROPOSAL

[A University of Alberta Template for Proposals to Establish New Affiliated Centres and Institutes can be accessed from Forms \(below\). Proposals will be written using the template provided and submitted to the Office of the Provost and Vice-President \(Academic\).](#) All proposals for the establishment of affiliated centres and institutes created through a contractual relationship or agreement, depending on the nature of the centre or institute being contemplated, require consultation with the [Office of the Provost and Vice-President \(Academic\)](#)'s office or the [Office of the Vice-President \(Research\)](#)'s office at the earliest feasible stage.

The proposal [template addresses shall address](#) the critical elements [of a proposal as](#) outlined within the [Affiliated Centres and Institutes \(Appendix A\) Agreement Requirements](#), ~~or explain why a critical element(s) is not applicable.~~

In addition to the required critical elements, the proposal submitted to the Provost shall contain:

- a. The name and detailed purpose of the unit [and the name and signature of the Reporting Dean](#);
- b. [Potential benefits to the University of Alberta](#)~~A clear statement of the benefit to the University of Alberta within the affiliation;~~
- c. [Membership and governance structure/reporting guidelines \(including a diagram of organizational structure\)](#);
- d. [A statement of the employment status and funding of employees](#);
- e. [A detailed budget which includes clear delineation of sources of operating funds](#);

- ~~e.f.~~ A statement of potential risks to the University of Alberta inherent in the activities of the proposed Centre/Institute and what steps would be taken to mitigate and/or manage ~~address~~ them;
- g. Physical space requirements;
- h. A statement for the provision of intellectual property;
- i. Statement of a provision for annual reporting and a stated provision for periodic strategic and operational review, as well as provision for reporting on such reviews, as will be outlined within the affiliation agreement;
- j. An exigency plan for termination;
- ~~d.~~ A detailed budget which includes clear delineation of sources of operating funds;
- ~~e.k.~~ Letters of support from relevant on- and off-campus sources;
- f.l. The agreement, contract and/or memoranda of understanding between the University of Alberta and its partners within the affiliation agreement.

2. ESTABLISHMENT

All proposals for establishment of affiliated centres and institutes shall be submitted initially to the Provost and Vice-President (Academic) for assessment. Proposals deemed to be in good order will be forwarded by the proposer(s) to the Executive Planning Committee (EPC) for final approval. ~~The Strategic Initiatives Group (SIG) shall review operational details (e.g., budget, space) for the proposed centre or institute and suggest revisions or clarification as needed. Proposals deemed to be in good order will be forwarded by the proposer(s) to the Executive Planning Committee (EPC) for final approval.~~

Proposed affiliated centres and institutes shall not operate prior to receipt of notice of approval.

All affiliated centres and institutes operating existing but not approved by EPC shall come into compliance immediately or be considered for closure.

**DEFINITIONS**

Any definitions listed in the following table apply to this document only with no implied or intended institution-wide use. [▲Top](#)

<p><b>Affiliated Centre or Institute</b></p>	<p>An <del>a</del><u>a</u>ffiliated <del>c</del><u>C</u>entre or <del>i</del><u>I</u>nstitute is created through a contractual or other legal arrangement with one or more third parties such as a joint venture, a corporation, a society, a partnership or other affiliation type arrangement by which a centre or institute is created which is not under the control of the University.</p> <p>The <del>c</del><u>C</u>entre or <del>i</del><u>I</u>nstitute reports to a governing board that is external to the University of Alberta and for which the University does not have control. This <u>definition</u> would include centres and institutes <del>created through an agreement whether</del> located on or off the University's campuses, including national centres of excellence.</p> <p>In all cases, the required governance reviews and approvals must be obtained prior to contract execution.</p>
<p><b>Academic Centre or Institute</b></p>	<p><u>An academic centre or institute exists at the University of Alberta and is controlled by the University of Alberta</u> . An <del>a</del><u>a</u>cademic <del>c</del><u>C</u>entre or <del>i</del><u>I</u>nstitute may exist solely within the University of Alberta or may be</p>

	<p>created through a partnership between the university and other entities. Such other entities may include other universities, governments, public authorities (such as health authorities), and non-profit organizations. If an external corporate entity is involved in the <u>cCentre</u> or <u>iInstitute</u>, the process for managing conflict of interest and conflict of commitment must be reviewed. The University attaches the utmost value to academic freedom and scholarly integrity. Accordingly, <u>aAcademic cCentres</u> and <u>iInstitutes</u> shall not place any limits on these accepted principles of academic freedom and scholarly integrity.</p> <p><u>cCentres</u> or <u>iInstitutes</u> are not subsidiary companies, spin-off companies, societies created through non-university policies, or groups or corporations that lease University of Alberta space to achieve their own ends.</p> <p>Additionally, if the academic <u>cCentre</u> or <u>iInstitute</u> has a governing board, membership of the board is constituted such that the University of Alberta has <b>control</b>.</p>
<b>Reporting Dean</b>	<u>The Dean of the Faculty to which a centre or institute reports. In the case where multiple Deans are associated with a centre or institute, one Dean will be deemed to be the reporting Dean.</u>
<b>Control</b>	<u>The continuing power to determine the strategic operating and financing policies without the cooperation of others. Majority of voting shares and/or ability to appoint the majority of directors.</u>

## **FORMS**

Should a link fail, please contact [uappol@ualberta.ca](mailto:uappol@ualberta.ca). [[▲ Top](#)]

[University of Alberta Template for Proposals to Establish New Affiliated Centres and Institutes](#)

## **RELATED LINKS**

Should a link fail, please contact [uappol@ualberta.ca](mailto:uappol@ualberta.ca). [[▲ Top](#)]

[Naming Policy](#) (University of Alberta)



## University of Alberta Template for Proposals to Establish New Affiliated Centres and Institutes

**Step 1: Completion of this template will provide an initial high-level conceptual proposal upon which Step 2 is based.** This high-level piece will be submitted to the Office of the Provost in accordance with UAPPOL Policy. The proposal will be reviewed by the Centres and Institutes Committee **before** an agreement is written and before any details are negotiated.) **Before developing a proposal and completing this template, please review the UAPPOL Centres and Institutes Policy, as well as associated procedures for affiliated centres and institutes – [www.uappol.ualberta.ca](http://www.uappol.ualberta.ca) .**

**Step 2: Agreement/MOU/or contract between the University of Alberta and its partner(s) within the agreement** (To be developed in consultation with University General Counsel following completion of Step 1.)

**NOTE:** This document is expandable; **recommended length of the completed document is 8 to 10 pages**

1.	<p><b>Name and Faculty of Reporting Dean or Vice-President:</b></p> <table border="1" style="width: 100%;"> <tr> <td style="width: 75%;">Signature:</td> <td style="width: 25%;">Date:</td> </tr> <tr> <td style="height: 40px;"></td> <td></td> </tr> </table>	Signature:	Date:		
Signature:	Date:				
2.	<p><b><u>Name and Detailed Purpose of the Proposed Centre or Institute:</u></b></p>				
3.	<p><b><u>Potential Benefits to the University of Alberta</u></b></p> <ul style="list-style-type: none"> <li>a) Highlight benefits to the University of Alberta, including benefit to students</li> <li>b) List affiliated partners</li> </ul>				
4.	<p><b><u>Overview of Membership and Governance Structure/Reporting Guidelines. Include a diagram of organizational structure.</u></b></p> <ul style="list-style-type: none"> <li>a) Who appoints to the Board?</li> <li>b) What is the role of the Board?</li> <li>c) Provide a statement of the role and qualifications of the Chief Officer(s) of the proposed centre or institute</li> </ul>				
5.	<p><b><u>Employees</u></b></p> <ul style="list-style-type: none"> <li>a) Provide a statement of the employment status of employees (i.e., are they University of Alberta employees?)</li> <li>b) Specific source(s) of any “University funding” must be identified</li> <li>c) Personnel expenditures must include adequate provisions for benefit costs, salary settlements, and other escalating factors.</li> </ul>				
6.	<p><b><u>Detailed Budget</u></b></p> <ul style="list-style-type: none"> <li>a) Include key sources of operating funds, and include revenue sources and expenditures for [ideally] 5 years projected.</li> <li>b) State specific source(s) of any “University funding”</li> <li>c) personnel expenditures must include adequate provisions for benefit costs</li> <li>d) escalation factors must be built into expenditure projections (i.e. escalation due to inflation, future salary settlements, etc.)</li> </ul>				

	e) if in-kind support is identified, the specifics of that support must be listed separately
7.	<p><b><u>Potential Risks to the University of Alberta</u></b></p> <p>a) State any reputational, financial, and/or operational risks to the University of Alberta.</p> <p>b) Outline plans to mitigate/manage those risks.</p> <p>c) Risk Management Services may be consulted.</p>
8.	<p><b><u>Space Requirements.</u></b></p> <p>Space required?      Yes <input type="checkbox"/>    No <input type="checkbox"/></p> <p>If “No” selected, where is current space? _____</p> <p>If “Yes” selected, complete the following:</p> <p><input type="checkbox"/> On-site at the University of Alberta</p> <p><input type="checkbox"/> Awaiting allocation</p> <p><input type="checkbox"/> Rent/lease required</p> <p>If rent/lease is required, has this been budgeted for?    Yes <input type="checkbox"/>    No <input type="checkbox"/></p> <p>Is funding required?    Yes <input type="checkbox"/>    No <input type="checkbox"/>    Reasons: _____</p> <p>Address the following questions:</p> <p>a) If rent/lease or license is required, what is the University of Alberta’s commitment?</p> <p>b) If new space or modifications to existing space are required, has Facilities and Operations been contacted and has this been included in the budget?</p>
9.	<p><b><u>Equipment</u></b></p> <p>a) Identify any existing equipment (major or minor), where the equipment is located and who owns the equipment.</p> <p>b) If additional equipment is required, where will it be located, who will purchase?</p>
10.	<p><b><u>Intellectual Property (IP) and Copyright</u></b></p> <p>a) Will any copyright or patentable IP be created, and if so, how will it be handled?</p> <p>b) How will ownership and commercialization of IP be handled?</p>
11.	<p><b><u>Annual Reporting and Strategic Review: In accordance with UAPPOL Policy</u></b></p> <p>a) State a provision for annual reporting as will be outlined within the affiliation agreement.</p> <p>b) State a provision for periodic strategic and operational review, as well as provision for reporting on such reviews, as will be outlined in the affiliation agreement.</p>
12.	<p><b><u>Termination Plan/Provisions</u></b></p> <p>a) Exigency plan for termination: If physical and/or financial resources will remain upon termination, a plan for consultation with donors or agencies associated with the centre or institute must be included in the termination plan.</p>
13.	<p><b><u>Letters of Support:</u></b> Attach letters from relevant on- and off-campus sources</p>

G:\AD02\CEN\Templates.Examples.checklists CIC\ProposalTemplate.Affiliated.CentresandInstitutes.post.CIC.26Apr11.docx

Go to:	<a href="#">[Purpose]</a>	<a href="#">[PROCEDURE]</a>	<a href="#">[DEFINITIONS]</a>	<a href="#">[FORMS]</a>	<a href="#">[RELATED LINKS]</a>
This procedure is governed by its parent policy. Questions regarding this procedure should be addressed to the Office of Administrative Responsibility.					

## Affiliated Centres and Institutes Operation Procedure

<b>Office of Administrative Responsibility:</b>	Office of the Provost and Vice-President (Academic)
<b>Approver:</b>	Provost and Vice-President (Academic)
<b>Scope:</b>	Compliance with University procedure extends to all members of the University community.

### Overview

This procedure applies to all **affiliated centres and institutes**. This procedure does not apply to **academic centres and institutes**, nor shall it apply to research consortia that are created to fulfill the mandate of a research grant.

### Purpose

To outline University requirements for operating an affiliated centre or institute.

## **PROCEDURE**

In accordance with the critical elements outlined in the *Affiliated Centres and Institutes (Appendix A) Agreement Requirements*, each affiliated centre or institute with the University of Alberta must:

- provide an annual report as outlined within the affiliation agreement;
- conduct periodic reviews and report on those reviews as outlined within the affiliation agreement.

All proposals for the renaming of an affiliated centre or institute, or change in legal status, affiliation or substantial change to strategic direction of an affiliated centre or institute shall be submitted to the Executive Planning Committee for approval.

The affiliated centre or institute's annual report must be submitted to the **Reporting Dean** or Vice-President.

### REVIEW AND RENEWAL

Processes for reporting and review of an affiliated centre or institute are detailed in the affiliation agreement. Affiliated centre and institute renewal is dependent upon the determination by the reporting Dean or Vice-President, based on reporting and review, that:

- the centre or institute has made a demonstrated contribution to the mission of the University beyond what is possible by the department/Faculty in which the affiliated centre or institute is housed;
- the centre or institute continues to be financially viable/sustainable; and
- significant risk, if identified, has been mitigated or addressed.

If, at any point, any of these three conditions is no longer being met, then termination procedures may be initiated for the centre or institute.

### RISK REVIEW

The Executive Planning Committee (EPC) or the President’s Executive Committee (PEC) may, at any time, request and review the annual report of an affiliated centre or institute to assess the risk to the University associated with the unit. As a result of this review, EPC or PEC may request that the centre/institute lead investigate and address the perceived risk in a report back to the committee that made the request.

## **DEFINITIONS**

Any definitions listed in the following table apply to this document only with no implied or intended institution-wide use. [▲Top](#)

<p><b>Academic Centre or Institute</b></p>	<p><u>Academic centres and institutes exist at the University of Alberta and are controlled by the University of Alberta.</u> An <u>aAcademic cCentre</u> or <u>iInstitute</u> may exist solely within the University of Alberta or may be created through a partnership between the university and other entities. Such other entities may include other universities, governments, public authorities (such as health authorities), and non-profit organizations. If an external corporate entity is involved in the <u>cCentre</u> or <u>iInstitute</u>, the process for managing conflict of interest and conflict of commitment must be reviewed. The University attaches the utmost value to academic freedom and scholarly integrity. Accordingly, <u>aAcademic cCentres</u> and <u>iInstitutes</u> shall not place any limits on these accepted principles of academic freedom and scholarly integrity.</p> <p>Centres or <u>iInstitutes</u> are not subsidiary companies, spin-off companies, societies created through non-university policies, or groups or corporations that lease University of Alberta space to achieve their own ends.</p> <p>Additionally, if the academic <u>cCentre</u> or <u>iInstitute</u> has a governing board, membership of the board is constituted such that the University of Alberta has <b>control</b>.</p>
<p><b>Affiliated Centre or Institute</b></p>	<p>An <u>aAffiliated cCentre</u> or <u>iInstitute</u> is created through a contractual or other legal arrangement with one or more third parties such as a joint venture, a corporation, a society, a partnership or other affiliation type arrangement by which a centre or institute is created which is not under the control of the University.</p> <p>The <u>cCentre</u> or <u>iInstitute</u> reports to a governing board that is external to the University of Alberta and for which the University does not have control. This <u>definition</u> would include centres and institutes <u>created through an agreement whether</u> located on or off the University’s campuses, including national centres of excellence.</p> <p>In all cases, the required governance reviews and approvals must be obtained prior to contract execution.</p>
<p><b><u>Reporting Dean</u></b></p>	<p><u>The Dean of the Faculty to which a centre or institute reports. In the case where multiple Deans are associated with a centre or institute, one Dean will be deemed to be the Reporting Dean.</u></p>
<p><b><u>Centre/Institute Lead</u></b></p>	<p><u>The individual responsible for overall reporting for a centre or institute.</u></p>

**Control**

~~The continuing power to determine the strategic operating and financing policies without the cooperation of others. Majority of voting shares and/or ability to appoint the majority of directors.~~

**FORMS**

There are no forms for this procedure. [[▲Top](#)]

**RELATED LINKS**

Should a link fail, please contact [uappol@ualberta.ca](mailto:uappol@ualberta.ca). [[▲Top](#)]

[Naming Policy](#) (University of Alberta)

Go to:	<a href="#">[Purpose]</a>	<a href="#">[PROCEDURE]</a>	<a href="#">[DEFINITIONS]</a>	<a href="#">[FORMS]</a>	<a href="#">[RELATED LINKS]</a>
--------	---------------------------	-----------------------------	-------------------------------	-------------------------	---------------------------------

This procedure is governed by its parent policy. Questions regarding this procedure should be addressed to the Office of Administrative Responsibility.

## Affiliated Centres and Institutes Termination Procedure

<b>Office of Administrative Responsibility:</b>	Office of the Provost and Vice-President (Academic)
<b>Approver:</b>	Provost and Vice-President (Academic)
<b>Scope:</b>	Compliance with University procedure extends to all members of the University community.

### Overview

This procedure applies to all **affiliated centres and institutes**. This procedure does not apply to **academic centres and institutes**, nor shall it apply to research consortia that are created to fulfill the mandate of a research grant.

### Purpose

To outline the steps necessary for terminating an affiliated centre or institute.

## PROCEDURE

Compliance with University procedure extends to all members of the University community. [\[▲Top\]](#)

Prior to the termination of an affiliated centre or institute, and in accordance with the *Affiliated Centres and Institutes (Appendix A) Agreement Requirements*, ~~each~~an affiliated centre or institute must:

- notify the University of Alberta that a termination of the centre/institute is being considered;
- notify the University what physical and financial resources will remain following the termination of the affiliated centre or institute, if not already stated within the affiliation agreement;
- follow the obligations as outlined in the affiliation agreement and at law.

## DEFINITIONS

Any definitions listed in the following table apply to this document only with no implied or intended institution-wide use. [\[▲Top\]](#)

<b>Academic Centre or Institute</b>	<u>An academic centre or institute exists at the University of Alberta and is controlled by the University of Alberta.</u> An <del>a</del> <u>a</u> Academic <del>c</del> <u>c</u> Centre or <del>i</del> <u>i</u> Institute may exist solely within the University of Alberta or may be created through a partnership between the university and other entities. Such other entities may include other universities, governments, public authorities (such as health authorities), and non-profit organizations. If an external corporate entity is involved in the <del>c</del> <u>c</u> Centre or <del>i</del> <u>i</u> nstitute, the process for managing conflict of interest and conflict of commitment must be reviewed. The University attaches the
-------------------------------------	---

	<p>utmost value to academic freedom and scholarly integrity. Accordingly, <a href="#">aAcademic cCentres</a> and <a href="#">iInstitutes</a> shall not place any limits on these accepted principles of academic freedom and scholarly integrity.</p> <p>Centres or <a href="#">iInstitutes</a> are not subsidiary companies, spin-off companies, societies created through non-university policies, or groups or corporations that lease University of Alberta space to achieve their own ends.</p> <p>Additionally, if the academic <a href="#">cCentre</a> or <a href="#">iInstitute</a> has a governing board, membership of the board is constituted such that the University of Alberta has <b>control</b>.</p>
<b>Affiliated Centre or Institute</b>	<p>An <a href="#">aAffiliated cCentre</a> or <a href="#">iInstitute</a> is created through a contractual or other legal arrangement with one or more third parties such as a joint venture, a corporation, a society, a partnership or other affiliation type arrangement by which a centre or institute is created which is not under the control of the University.</p> <p>The <a href="#">cCentre</a> or <a href="#">iInstitute</a> reports to a governing board that is external to the University of Alberta and for which the University does not have control. This <a href="#">definition</a> would include centres and institutes <a href="#">created through an agreement whether</a> located on or off the University's campuses, including national centres of excellence.</p> <p>In all cases, the required governance reviews and approvals must be obtained prior to contract execution.</p>
<b>Control</b>	<p><del>The continuing power to determine the strategic operating and financing policies without the cooperation of others.</del> <a href="#">Majority of the voting shares and/or ability to appoint the majority of directors.</a></p>

**FORMS**

There are no forms for this procedure. [\[▲Top\]](#)

**RELATED LINKS**

Should a link fail, please contact [uappol@ualberta.ca](mailto:uappol@ualberta.ca). [\[▲Top\]](#)

This document is an appendix to its parent document. Questions regarding this document should be addressed to the Office of Administrative Responsibility.

## Affiliated Centres and Institutes (Appendix A) Agreement Requirements

<b>Office of Administrative Responsibility:</b>	Office of the Provost and Vice-President (Academic)
<b>Approver:</b>	Provost and Vice-President (Academic)
<b>Scope:</b>	Compliance with University procedure extends to all members of the University community.

\*NOTE: The critical elements outlined below apply to **affiliated centres and institutes** only. They do not apply to **academic centres and institutes**, nor shall they apply to research consortia that are created to fulfill the mandate of a research grant.

All agreements must be written and reviewed in accordance with the University of Alberta's *Contract Review and Signing Authority Policy*.

The affiliation agreement will be written to:

- ensure best practice in the management of the University's interests in an affiliated centre or institute.
- provide clarity of roles and responsibilities of the University and of the centre's or institute's board in terms of human resources, leases, ownership of equipment, ownership of research, reporting, etc.
- understand both the potential opportunities and exposures to the University and ensure appropriate steps are taken to mitigate significant risks.
- demonstrate consultation with appropriate University units and departments (e.g. General Counsel must be consulted on legal issues, Risk Management on insurance issues, Academic Staff Administration and/or Employee Relations on employment issues, etc)

All agreements to create an affiliated centre or institute must also contain the following critical elements. In certain circumstances, upon consultation with the University department that has responsibility for the area, it may be determined that one or more of these elements may not be required:

1. Legal Status
  - a. Define the parties within the affiliation.
  - b. Define the legal status of the centre/institute.
2. Reporting/Governance Structure
  - a. Define the representation of each partner within the affiliation agreement on the board of directors or similar governing body and the associated roles and responsibilities of the board.
  - b. Define the powers of the governing board.
  - c. Define the powers that are reserved to parties (for example, the power to amend the affiliation agreement).
  - d. If applicable, define the representation and responsibilities of the advisory council or similar advisory body.



- e. Define the role and qualifications of the chief officer(s) of the proposed centre/institute.
- f. Define the timing of and how the annual reporting will be conducted and the intended audience of the report.
- g. Define how periodic reviews will be conducted, the timing of those reviews, and how the results of the reviews will be reported to each member institution.

3. Employees

Provisions must be included to deal with any employment issues that may arise as a result of the affiliation. This could include issues such as secondments between the parties, applicability of collective agreements and compliance with policies.

4. Space/Lease Agreement

Define the arrangements for the ownership and use of space, with associated liabilities clearly defined.

5. Equipment

Define the agreement regarding the purchase, ownership, and use of equipment.

6. Funding/Budget

Define the monetary and financial reporting obligations, if any, of the University and other party(ies) in the agreement.

7. Research and Intellectual Property

Define the agreement with the member party(ies) in terms of research grants and the ownership of research and other intellectual property.

8. Risk/Insurance

Define the arrangements for insurance and associated liabilities.

9. Termination or Wind Up

- a. Define the processes for the termination or winding up of the centre/institute, and the obligations of the centre/institute and of the party(ies) should it be terminated or wound down.
- b. Outline what physical and financial resources will remain following the termination or wind up of an affiliated centre or institute.

**DEFINITIONS**

Any definitions listed in the following table apply to this document only with no implied or intended institution-wide use. [\[▲Top\]](#)

<b>Academic Centre or Institute</b>	<p><u><a href="#">An academic centre or institute exists at the University of Alberta and is controlled by the University of Alberta.</a></u> An <u><a href="#">aAcademic cCentre</a></u> or <u><a href="#">iInstitute</a></u> may exist solely within the University of Alberta or may be created through a partnership between the university and other entities. Such other entities may include other universities, governments, public authorities (such as health authorities), and non-profit organizations. If an external corporate entity is involved in the <u><a href="#">cCentre</a></u> or <u><a href="#">iInstitute</a></u>, the process for managing conflict of interest and conflict of commitment must be reviewed. The University attaches the utmost value to academic freedom and scholarly integrity. Accordingly, <u><a href="#">aAcademic cCentres</a></u> and <u><a href="#">iInstitutes</a></u> shall not place any limits on these accepted principles of academic freedom and scholarly integrity.</p>
-------------------------------------	---

	<p>Centres or <del>i</del>nstitutes are not subsidiary companies, spin-off companies, societies created through non-university policies, or groups or corporations that lease University of Alberta space to achieve their own ends.</p> <p>Additionally, if the academic <del>c</del>Centre or <del>i</del>nstitute has a governing board, membership of the board is constituted such that the University of Alberta has <b>control</b>.</p>
<b>Affiliated Centre or Institute</b>	<p>An <del>a</del>Affiliated <del>c</del>Centre or <del>i</del>nstitute is created through a contractual or other legal arrangement with one or more third parties such as a joint venture, a corporation, a society, a partnership or other affiliation type arrangement by which a centre or institute is created which is not under the control of the University.</p> <p>The <del>c</del>Centre or <del>i</del>nstitute reports to a governing board that is external to the University of Alberta and for which the University does not have control. This <u>definition</u> would include centres and institutes created <del>through an agreement whether</del> located on or off the University's campuses, including national centres of excellence.</p> <p>In all cases, the required governance reviews and approvals must be obtained prior to contract execution.</p>
<b>Control</b>	<p><del>The continuing power to determine the strategic operating and financing policies without the cooperation of others. Majority of voting shares and/or ability to appoint the majority of directors.</del></p>

## **RELATED LINKS**

Should a link fail, please contact [uappol@ualberta.ca](mailto:uappol@ualberta.ca). [[▲ Top](#)]

[Contract Review and Signing Authority Policy](#) (UAPPOL)