

The following Motions and Documents were considered by the GFC Executive Committee at its Monday, January 12, 2015 meeting:

Agenda Title: **Proposal from the Office of the Vice-President (Research) and the Faculty of Graduate Studies and Research to Create the UAPPOL Delay of Research Publication Procedure (with the Attendant Deletion of GFC Policy Manual Sections 96.1.1, 96.1.2, 96.1.3, 96.1.4, and 120.2)**

CARRIED MOTION: THAT the GFC Executive Committee approve, under delegated authority from the General Faculties Council, the new UAPPOL Delay of Research Publication Procedure, as submitted by the Office of the Vice-President (Research) and the Faculty of Graduate Studies and Research and as set forth in Attachment 1, as well as the attendant deletion of GFC Policy Manual Sections 96.1.1, 96.1.2, 96.1.3, 96.1.4, and 120.2 (as noted in Attachment 3).

Final Item: 4

Agenda Title: **Deletion of Section 65.3 (University of Alberta Student Housing Policy) from the GFC Policy Manual**

TABLED MOTION: THAT the GFC Executive Committee table the proposed deletion of GFC Policy Manual Section 65.3 (University of Alberta Student Housing Policy), as originally submitted by Facilities and Operations.

Agenda Title: **Proposed Changes from the Office of the Registrar to Embedded Certificate Parchments**

CARRIED MOTION: THAT the GFC Executive Committee approve, under delegated authority from General Faculties Council, the proposed changes to Embedded Certificate Parchments, as provided by the Office of the Registrar and as set forth in Attachment 1, to be effective upon final approval.

Final Item: 6

Agenda Title: **Proposed Changes to the Composition of the Selection/Review Committees for the Dean of Faculté Saint-Jean**

CARRIED MOTION: THAT the GFC Executive Committee approve, under delegated authority from the Board of Governors and General Faculties Council, proposed changes to the composition of the Selection and Review Committees for the Dean of Faculté Saint-Jean, as submitted by the Office of the Provost and Vice-President (Academic) and as set forth in Attachment 1, to take effect upon final approval.

Final Item: 7

Agenda Title: **Draft Agenda for the February 2, 2015 Meeting of General Faculties Council (GFC)**

CARRIED MOTION: THAT the GFC Executive Committee approve, under delegated authority from General Faculties Council, the Agenda for the February 2, 2015 meeting of General Faculties Council (GFC).

OUTLINE OF ISSUE

Agenda Title: **Proposal from the Office of the Vice-President (Research) and the Faculty of Graduate Studies and Research to Create the UAPPOL Delay of Research Publication Procedure (with the Attendant Deletion of GFC Policy Manual Sections 96.1.1, 96.1.2, 96.1.3, 96.1.4, and 120.2)**

Motion: THAT the GFC Executive Committee approve, under delegated authority from the General Faculties Council, the new UAPPOL Delay of Research Publication Procedure, as submitted by the Office of the Vice-President (Research) and the Faculty of Graduate Studies and Research and as set forth in Attachment 1, as well as the attendant deletion of GFC Policy Manual Sections 96.1.1, 96.1.2, 96.1.3, 96.1.4, and 120.2 (as noted in Attachment 3).

Item

Action Requested	<input checked="" type="checkbox"/> Approval <input type="checkbox"/> Recommendation <input type="checkbox"/> Discussion/Advice <input type="checkbox"/> Information
Proposed by	Office of the Vice-President (Research) and Faculty of Graduate Studies and Research
Presenters	Glen Baker, Associate Vice-President (Research), Office of the Vice-President (Research); Joanna Harrington, Associate Dean, Faculty of Graduate Studies and Research
Subject	The proposed UAPPOL procedure clarifies the maximum period of delay for the publication of research.

Details

Responsibility	Vice-President (Research) and Dean, Faculty of Graduate Studies and Research
The Purpose of the Proposal is (please be specific)	To create a new UAPPOL procedure and to delete several attendant sub-sections of the GFC Policy Manual.
The Impact of the Proposal is	All references to the maximum period of delay for various types of research publications will be contained in one UAPPOL procedure. The reference to the delay/restricting access to the publication of theses will remain in the University Calendar, where the procedure for requesting a delay beyond 12 months is outlined.
Replaces/Revises (eg, policies, resolutions)	Replaces GFC Policy Manual Sections 96.1.1, 96.1.2, 96.1.3, 96.1.4, and 120.2.
Timeline/Implementation Date	Upon final approval.
Estimated Cost	N/A
Sources of Funding	N/A
Notes	<p>The process of decommissioning the GFC Policy Manual continues, and a small working group was established by the Office of the Vice-President (Research) to look at policies that referenced research publication delays. The working group found that there were several sub-sections in GFC Policy Manual Sections 96.1 and 120, as well as the University Calendar, that contain references to delay of publication related to student theses, research, and clinical trials. Therefore, a decision was made to draft a new UAPPOL procedure specifically related to delay of research publication that would consolidate information from various sources.</p> <p>The current maximum delay of research publications of 18 months (as per existing GFC policy) is particularly problematic for clinical trials. The Office of the Vice-President (Research) received 25 requests during</p>

	<p>2014 for exceptions that sought up to 24 months in clinical trial publication delays in order for data to be analyzed and patent protection to be undertaken where appropriate. The complexity of clinical trials, which increasingly involves a large number of sites often located in different regions and countries, can slow down both the analysis of data and meeting the requirements for patent protection.</p> <p>The Research Services Office (RSO) reported that there were no requests for delay of publication in research agreements signed in 2014.</p> <p>Maximum times allowed for delay of research publications vary among institutions. For example, the University of Calgary is 24 months; the University of Lethbridge is 12 months; and the University of British Columbia (UBC) is 12 months.</p> <p>The intent of the proposed new UAPPOL procedure is to consolidate information related to the delay of research publications that currently resides in several locations. The only proposed change is the length of delay of publication permitted before an exception must be sought related to clinical trials (ie, changing the maximum from 18 to 24 months). Based on experience in 2014, this change will dramatically reduce the number of exceptions requested in this category of research.</p> <p>As <i>per</i> the Committee's terms of reference, the GFC Executive Committee is being requested to act under delegated authority from GFC and approve this new UAPPOL procedure as a routine matter. Future approvals for changes to the Delay of Research Publication Procedure would be the responsibility of the Vice-President (Research) and the Dean of the Faculty of Graduate Studies and Research.</p>
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Alignment/Compliance

Alignment with Guiding Documents	<i>Dare to Discover, Dare to Deliver</i> ; University Calendar
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"> 1. Post-Secondary Learning Act (PSLA): The <i>PSLA</i> gives GFC responsibility, subject to the approval of the Board of Governors, over "academic affairs" (26(1)). 2. UAPPOL: The Policy Development Framework states that "[n]ewly developed or revised policy will...not overlap or contradict other policy[.]" 3. GFC Executive Committee Terms of Reference (Section 3./Mandate of the Committee): "To act as the executive body of General Faculties Council and, in general, carry out the functions delegated to it by General Faculties Council. (GFC 08 SEP 1966) (GFC 12 FEB 1996) <ol style="list-style-type: none"> 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>2. Routine Matters</p> <p>Matters which are routine in carrying out the policies approved by General Faculties Council are delegated to the Executive Committee. (GFC 08 SEP 1966)</p> <p>[...]"</p>
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Routing (Include meeting dates)

Consultative Route (parties who have seen the proposal and in what capacity)	<p>Heidi Robinson, Legal Counsel, Research Services Office - March 24, 2014, April 8, 2014, April 14, 2014, September 5, 2014, and November 28, 2014</p> <p>Annette Kujda, Administrative Officer, Office of the Vice-President (Research) - March 24, 2014, April 8, 2014, April 14, 2014, September 5, 2014, November 14, 2014, and November 19, 2014</p> <p>Joanna Harrington, Associate Dean, Faculty of Graduate Studies and Research - May 5, 2014, November 5, 2014</p> <p>Mazi Shirvani, Vice-Provost and Dean, Faculty of Graduate Studies and Research - May 5, 2014</p> <p>Lorraine Deydey, Director, Research Services Office - November 4, 2014</p> <p>Richard Fedorak, Professor, Department of Medicine, and Director, Northern Alberta Clinical Trials and Research Centre - May 6, 2014, May 13, 2014, November 4, 2014</p> <p>Brian Rowe, Professor, Department of Emergency Medicine - May 10, 2014</p> <p>Brygeda Renke, Executive Director, Association of Academic Staff – University of Alberta - August 7, 2014 (feedback attached; see Attachment 2)</p> <p>Duncan Elliott, Professor, Department of Electrical and Computer Engineering - September 8, 2014</p> <p>Gwen Bauer, Manager, Policy Standards Office - July 21, 2014</p> <p>Julaine Herst, Assistant Director, Contracts and Agreements, Research Services Office - November 4, 2014</p> <p>Final draft approved by Richard Fedorak, Professor, Department of Medicine, and Director, Northern Alberta Clinical Trials and Research Centre - November 4, 2014</p> <p>Final draft approved by Joanna Harrington, Associate Dean, Faculty of Graduate Studies and Research - November 5, 2014</p> <p>Final draft approved by Lorne Babiuk, Vice-President (Research) -</p>
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	November 12, 2014 Final draft agreed to by the University Research Policy Committee - November 28, 2014
Approval Route (Governance) (including meeting dates)	GFC Executive Committee (January 12, 2015) – for final approval
Final Approver	GFC Executive Committee

Attachments:

1. Attachment 1 (pages 1 – 2) - Proposed UAPPOL Delay of Research Publication Procedure
2. Attachment 2 (page 1) - Feedback from AASUA on the Draft UAPPOL Delay of Research Publication Procedure
3. Attachment 3 (pages 1 – 2) - Current GFC Policy Manual Sections 96.1.1, 96.1.2, 96.1.3, 96.1.4, and 120.2
4. Attachment 4 (page 1) - Section 204.4.3 of the 2014-15 University Calendar
5. Attachment 5 (pages 1 – 2) - UAPPOL Research Policy (Proposed Parent Policy for the New UAPPOL Delay of Research Publication Procedure)

Prepared by: Katharine Moore, Senior Administrative Officer, Office of the Vice-President (Research),
katharine.moore@ualberta.ca

Original Approval Date: January 12, 2015

Parent Policy: [Research Policy](#)

Delay of Research Publication Procedure

Office of Administrative Responsibility:	Office of the Vice-President (Research), Faculty of Graduate Studies and Research
Approver:	Vice-President (Research) and Dean, Faculty of Graduate Studies and Research
Scope:	Compliance with this University procedure extends to all members of the University community

Overview

Research funds from an external body such as government, industry, foundation, business or professional organization are meant to further the goals of the University of Alberta and those of the faculty member in terms of research or creative activity. The University recognizes that one of the main purposes of university research is the discovery and dissemination of new knowledge. Consequently, there is a need for the free exchange of ideas or information and for the right and the obligation to publish the results of the research. The University prohibits secret or classified research.

The financial interests and publication rights of graduate students and postdoctoral fellows, when the contribution warrants, should be clarified prior to their involvement with a given project. University policy requires all theses to be made freely available to the public after convocation unless circumstances justify a period of delay.

University research, therefore, which is pursued under conditions which restrict publication either in terms of content or beyond limits established from time to time by the General Faculties Council is not compatible with University policy. The University expects that research results will normally be published without any time restrictions.

Purpose

To outline the conditions under which delays to publish research results may be acceptable to the University.

PROCEDURE

1. **CONDITIONS UNDER WHICH THE UNIVERSITY WILL ACCEPT A REQUEST TO DELAY PUBLICATION OF RESEARCH RESULTS:**
 - a. Where the research results are part of a thesis - delay of a maximum of 12 months, except when a student requests a further delay. In this case, approval must be sought in accordance with the Graduate Program Regulations outlined in the University Calendar.
 - b. Where the research results contain confidential information of the **sponsor** or where a patent is to be sought - delay of a maximum of 12 months
 - c. In the case of **clinical trials** only - delay of a maximum of 24 months from the "data lock" point in the clinical trial
2. **APPROVAL OF EXCEPTIONS**

Any exceptions to the time limits outlined in Sections 1b and 1c above must be approved by the Office of the Vice-President (Research).

DEFINITIONS

Definitions should be listed in the sequence they occur in the document (i.e. not alphabetical).

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

Sponsor	An external agency that provides funds to the University. A company or agency paying for/requesting the research.
Clinical Trials	Research investigations in which people volunteer to test new treatments, interventions or tests as a means to prevent, detect, treat or manage various diseases or medical conditions. Clinical trials may involve people in multiple sites and in different countries.
Data Lock	Action taken to prevent any further changes to the clinical trial database. A database is locked after all queries have been resolved and it is determined by the sponsor and/or study coordinating centre that the data are ready for analysis.

FORMS

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

RELATED LINKS

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

[University of Alberta Calendar, Section 204.4.3](#) (University of Alberta)

[Graduate Program Manual](#) (University of Alberta)

[Postdoctoral Fellows Policy](#) (UAPPOL)



Request for AASUA Review of New Draft UAPPOL Procedure on Delay of Research Publications

1 message

Brygeda Renke <Brygeda.Renke@aasua.ca>

Thu, Aug 7, 2014 at 10:09 AM

To: "Katharine (Research) Moore" <katharine.moore@ualberta.ca>

Cc: Gwen Bauer <gwen.bauer@ualberta.ca>

Dear Katherine

Thank you for contacting us and for your patience in receiving our comments. I trust the following will be helpful:

1. Could the "Overview" be eliminated? The writing is not clear. It raises more issues (e.g. re grad students & pdf's re financial interests) than are dealt with in the actual procedure.
2. re Purpose: should clarify that we're talking about government or industry funded projects (not just delays "requested" by government or industry) - the delay would be a condition of funding.
3. re Procedure, clause 1: I'd add the following (underlined) -

CONDITIONS UNDER WHICH THE UNIVERSITY WILL ACCEPT DELAY IN PUBLICATION FROM THE DATE OF SUBMISSION OF A FINAL REPORT TO A PROJECT FUNDER:

4. re Procedure, clause 1(c): "private company or industry" is not the right phrase (private company vs. public company? what about (e.g.) trade organizations?) - better? > by a "private sector funder" or a "non-governmental funder".

I look forward to hearing from you further once you have had an opportunity to review the above.

Sincerely,

Brygeda Renke
Executive Director
Barrister & Solicitor

Phone: 780.492.5321

Email: brygeda.renke@aasua.ca



GFC Policy Manual

96. Research Policies

See also TRUST FUNDS, Section 116 and HUMAN RESEARCH, Section 66

Note from the University Secretariat: The *Post-Secondary Learning Act* gives General Faculties Council (GFC) responsibility, subject to the authority of the Board of Governors, over "academic affairs" (section 26 (1)). The Act further provides that "[a] university may conduct pure research and applied research and may foster innovation" (section 104(1)). GFC has thus enacted a policy concerning Research Policies, as set out below.

The complete wording of the section(s) of the *Post-Secondary Learning Act*, as referred to above, and any other related sections, should be checked in any instance where formal jurisdiction or delegation needs to be determined.

96.1 General Statement

1. When a member of staff requests research funds from an external agency such as government, industry, foundations, business, or professional organizations, or is asked to use professional skills on their behalf and the acceptance of such an undertaking means that the University is expected to provide facilities, space, equipment, or administrative assistance; or when the funds are used to support activities in which students or postdoctoral fellows are engaged as part of their education experience, the University considers the activity to be part of the University's pattern of research.

2. The University of Alberta recognizes that one of the main purposes of University research is the discovery and dissemination of new knowledge. University research, therefore, which is pursued under conditions which restrict publication either in terms of content or beyond limits established from time to time by the General Faculties Council is not compatible with University policy.

3. It is University policy that, for research grants and contracts funded by external agencies, publication of research results not be delayed beyond 18 months from the date of submission of a final report. The University expects that research results will normally be published without any time restrictions. However, the University accepts delays which may be requested or required by the federal or provincial governments, or by private industry as set out in the following table:

Federal Government 1

Normally 3 months

Private Company/Industry 2

Normally 18 months

1 Federal Government policy

2 Provincial Government/Industry policy.

Provincial Government 2

Normally 12 months

4. Exceptions to the 18-month limit (see Section 3 above) must be approved by the Office of the Vice-President (Research) and reported at regular intervals to the University Research Policy Committee and annually to GFC in May.

GFC Policy Manual

120. University Community Relations

Note from the University Secretariat: The *Post-Secondary Learning Act* gives GFC responsibility, subject to the authority of the Board of Governors, over "academic affairs" (section 26(1)). GFC has thus enacted a policy governing University-Community Relations, as set out below.

The complete wording of the section(s) of the *Post-Secondary Learning Act*, as referred to above, and any other related sections, should be checked in any instance where formal jurisdiction or delegation needs to be determined.

At the November 5, 2012 Executive Committee meeting, the Executive approved under delegated authority from General Faculties Council, the rescission of Section 120 (University Community Relations) Subsections 1, 3, 4, 5 and 6 of the GFC Policy Manual, to take effect immediately.

120.2 Freedom of Information

Grants and contracts are meant to further the goals of the University of Alberta and those of the faculty member in terms of research or creative activity. Consequently, there is a need for the free exchange of ideas or information and for the right and the obligation to publish the results of the research. The University of Alberta prohibits classified research. The maximum delay in publication must not exceed 18 months. Individual Faculties may insist on shorter delays.

However, departure from the foregoing norms can be entertained in the case of supplemental professional activities. Faculty members must consult with their Dean and Department Chair and obtain the advance approval of the University Vice-President (Research) prior to entering into an agreement that obligates them to respect proprietary information. Thus, although research should not be undertaken where the sponsor requires confidentiality of the results beyond that required either for normal patenting purposes or for professional confidentiality involving the protection of human rights and dignity, special provisions for nondisclosure may be obtained. (EXEC 03 MAY 2004)

120.9 Professional Liability

Although the University of Alberta carries liability insurance which extends to the activities of both academic and support staff while acting in the course of employment, (ie, performance of teaching, research and administrative responsibilities), when any faculty member is engaged in a supplementary professional activity or acting in a capacity independent of the University of Alberta, that member is not covered by the University. Any liability in such circumstances is a matter between the faculty member and the client, so the resultant contracts and obligations do not implicate the University of Alberta (see Clause 8.11*, Faculty Agreement).

* Readers are cautioned that both the text and numbering of Articles may change prior to ratification of the revised Faculty Agreement in early 1993.

In summary, the University of Alberta recognizes and respects the relationships that develop between the University of Alberta and the community and the benefits to be gained from the mutual exchange of services. University-community relations, including supplementary professional activities, are

- Discovery of possible offences under the Code of Student Behaviour after the examination has started.
- If the examination is adjourned, the committee should:
 - Specify in writing to the student, with as much precision as possible, the nature of the deficiencies and, in the case of revisions to the thesis, the extent of the revisions required. Where the oral defence is unsatisfactory it may be necessary to arrange some discussion periods with the student prior to reconvening the examination.
 - Decide upon a date to reconvene. If the date of the reconvened examination depends upon the completion of a research task or a series of discussions, it should be made clear which committee members will decide on the appropriate date to reconvene. The final date set for reconvening shall be no later than six months from the date of the examination. This new examination must be held within six months of the initial examination.
- Make it clear to the student what will be required by way of approval before the examination is reconvened (e.g., approval of the committee chair or supervisor, approval of the entire committee, or of select members of the committee).
- Specify the supervision and assistance the student may expect from the committee members in meeting the necessary revisions.
- Advise the Dean of the department's Faculty following the procedures established for this purpose.
- Advise the FGSR in writing of the adjournment and the conditions.
- When the date is set for the adjourned final examination, the department will notify the Dean of the department's Faculty and the FGSR. Normally a Pro Dean attends the examination.

Pass: All or all but one of the examiners must agree to an outcome of Pass. If the student passes the examination, the department should submit a completed Thesis Approval/Program Completion form to the FGSR. If one of the examiners fails the student, that examiner does not have to sign this form.

Pass Subject to Revisions: All or all but one of the examiners must agree to an outcome of Pass Subject to Revisions. The student has satisfactorily defended the thesis but the revisions to the thesis are sufficiently minor that it will not require a reconvening of the examining committee.

The student must make the changes within six months of the date of the final examination. These changes should be checked and approved by the examining committee chair or supervisor, who does not sign until the required changes are satisfactorily completed. Other committee members may also wish to withhold their signature until they can verify that their required revisions have been made to their satisfaction.

Once the required revisions have been made and approved, the department should submit a completed Thesis Approval/Program Completion form to the FGSR indicating "pass subject to revisions". If one of the examiners fails the student that examiner does not have to sign the form.

Fail: All or all but one of the examiners must agree to an outcome of Fail. If the examination result is a Fail, no member of the examining committee signs the Thesis Approval/Completion form.

When the outcome is a Fail, the committee chair will provide the reasons for this decision to the graduate coordinator. The department will then provide this report, together with its recommendation for the student's program, to the Dean of the department's Faculty, the FGSR, and to the student.

An Associate Dean, FGSR will normally arrange to meet with the student and with the graduate coordinator before acting upon any department recommendation that affects the student's academic standing.

204.4 Thesis Requirements

204.4.1 Regulations and Outline of Responsibilities

All students in a thesis degree program must present and defend a thesis embodying the results of their research. The topic of the thesis must have been approved by the student's supervisor.

Departments may set specific requirements for student theses, including requirements pertaining to traditional format theses (paper-based theses) (e.g., theses consisting of published and accepted papers), and mixed format theses (combining the traditional format and the paper-based format). Clarity is recommended in setting departmental requirements to avoid disputes later.

For students in a master's degree program, the thesis, at a minimum, should reveal that the student is able to work in a scholarly manner and is acquainted with the principal works published on the subject of the thesis. As far as possible it should be an original contribution.

A doctoral thesis, at a minimum, must embody the results of original investigations and analyses and be of such quality as to merit publication meeting the standards of reputable scholarly publications. It must constitute a substantial contribution to the knowledge in the student's field of study.

The thesis should normally be written in English. In some departments, students may be permitted to write their thesis in a language other than English, provided that language has been approved for use by the supervisory committee, the department, and the Dean of the department's Faculty. Theses written in a language other than English must have two abstracts, one in the language of the thesis, and the other in English.

It is the responsibility of both the student and the supervisor(s) to be aware of any specific requirements of the student's department with respect to the student's thesis.

204.4.2 Policy on Public Access to Thesis Results

A thesis will be made freely available to the public as soon as possible after a student's convocation. It is the responsibility of the supervisor and the supervisory committee to inform the student of the University's policy on public access to thesis results and to explore with the student the possible ramifications of his or her research, at the outset of the thesis project. In principle, graduate students should not undertake, nor supervisors involve, students in research for a thesis when the thesis project is part of a contract which prohibits public access to a thesis.

204.4.3 Restricting Access to the Publication of a Thesis

It is University policy that a thesis be made freely available to the public as soon as possible after a student's convocation. A general policy of "open access" is also embraced by Tri-Council and other funding agencies. However, it is recognized that circumstances may arise that justify restricting access to a thesis for a specified period of time initially up to a maximum of one year (also known as an embargo period). The student's department has been delegated the authority to receive and approve a request for restricting access to a thesis for up to two years.

The likely circumstances for restricting access to a thesis include

- Contractual, where a contract with a company, funding agency or sponsor requires that the research conducted for the thesis must remain confidential for a specified period of time;
- Patent Pending, where a patent application has been lodged by the student or by another on the student's behalf, relating to a discovery or novel method in a thesis;
- Publication Pending, where a student has a contract with a publisher indicating that the publisher regards the electronic availability of a thesis as a prior publication and will reject any work based on a publicly available thesis, or for a student who has not yet obtained a publishing contract, where a student can show that the practice of the likely publishers in his or her discipline is to consider the electronic availability of a thesis as a prior publication; and
- Ethical Confidentiality, where a thesis requires an embargo period in order for additional steps to be taken to remove information from the thesis where electronic access to the thesis in a university repository without amendment could endanger the physical or mental health or the safety of people.

Students wanting to restrict public access to their theses for a temporary period of time must submit a written request with supporting documentation to their department. If approved by the department, the form request must be submitted to the FGSR for processing at the time of submission of the thesis to FGSR.

At the end of an approved embargo period the thesis will become accessible. An accessible thesis can be located by a Google search or other internet search engine. It is a student's responsibility to contact the Dean of FGSR if there are any extenuating circumstances that warrant an extension to the original embargo period.

University policy requires compliance with copyright law.

204.5 Course-based Master's Programs

Residence: Residence requirements are established and monitored by the department.

Language Requirement: It is a requirement in some departments offering master's degrees that students show proof of proficiency in a language other than English. (For specific information on language requirements see the detailed program information under the appropriate departmental entry in §205.)

The student is responsible for successfully completing all course work and the capping exercise. Where the capping exercise involves a project, the student is responsible for producing a typed report of the project or some other finished product to be retained by the department.

- It is the responsibility of the department to verify that all courses and the capping exercise have been successfully completed before recommending a student for graduation; and



U of A Policies and Procedures On-Line (UAPPOL)

Original Approval Date: June 14, 2004

Most Recent Approval Date: March 6, 2013

Most Recent Editorial Date: October 10, 2013

Research Policy

Office of Accountability:	Vice-President (Research)
Office of Administrative Responsibility:	Vice-President (Research)
Approver:	Board Learning and Discovery Committee (BLDC)
Scope:	Compliance with this University policy extends to all members of the University community.

Overview

The University of Alberta serves the community by the dissemination of knowledge through teaching and the discovery of knowledge through research. As one of Canada's largest research-intensive universities, the University of Alberta is committed to excellence in research based on the highest national and international standards, and to actively promoting the important role of research in teaching.

Purpose

The policy states the University position with regard to its research activities.

POLICY

As part of its commitment to the creation and dissemination of knowledge, the University of Alberta will foster an environment of open inquiry and academic freedom in which individuals can pursue scholarly activities. To this end, the University will

- Ensure and promote the highest standards of scholarly practice and ethical conduct.
- Ensure that human research participants are treated safely and with respect.
- Ensure that teaching and research activities involving animals are performed with full respect for animal welfare.
- Ensure that principles of stewardship are applied to **research records**, protecting the integrity of the assets.
- Support and develop research and scholarship through prudent resource management and the securing of external funding.

All research must be compatible with established University policy and procedure, and comply with the terms and conditions agreed upon with granting agencies and donors.

DEFINITIONS

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

Research Records

Research information assets supporting both research and operational needs. This includes administrative information and records produced for analytic or evidentiary purposes. Research records include those documents and records and materials captured by or for a researcher that are necessary to document, reconstruct, evaluate, and validate research results and the events and processes leading to the acquisition of those results. Research records may be in many forms including but not limited to laboratory notebooks, survey documents, questionnaires, interview notes, transcripts, machine-generated data or performance outputs, recruitment materials, consent forms, correspondence, other documents, computer files, audio or video recordings, photographs including negatives, slides, x-ray films, samples of compounds, and components of organisms. With regard to research involving human participants or animal use, research records usually relate to the data collected about the subjects of the research, but may also include genomic sequencing and similar genetic information about animals used in research.

RELATED LINKS

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

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

PUBLISHED PROCEDURES OF THIS POLICY

[Research Administration Procedure \(Roles and Responsibilities\)](#)

[Research Records Stewardship Guidance Procedure](#)

[Research Records Stewardship Guidance Procedure Appendix A: Research Records Management and Preservation Guidelines](#)

[Research Records Stewardship Guidance Procedure Appendix B: Research Records Classification Guidelines](#)

FINAL Item No. 6

OUTLINE OF ISSUE

Agenda Title: **Proposed Changes from the Office of the Registrar to Embedded Certificate Parchments**

Motion: THAT the GFC Executive Committee approve, under delegated authority from General Faculties Council, the proposed changes to Embedded Certificate Parchments, as provided by the Office of the Registrar 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	Lisa Collins, Vice-Provost and University Registrar
Presenters	Ada Ness, Associate Registrar (Enrollment Services), Office of the Registrar; Corinne Callihoo, Assistant Registrar (Convocation and Ceremonies), Office of the Registrar
Subject	Proposed Changes to Embedded Certificate Parchments

Details

Responsibility	Provost and Vice-President (Academic)
The Purpose of the Proposal is (please be specific)	As a result of recent discussion with Provincial Government colleagues, it has been brought to the University's attention that embedded credit certificates are not significantly differentiated from our freestanding credit certificates. Since embedded certificates do not require Government approval, it is recommended that the presentation of the embedded certificates be modified to visually differentiate them from freestanding certificates that do receive governmental approval. The new design visually differentiates an embedded certificate from a parchment, which is awarded for completion of degree or diploma programs. As <i>per</i> UAPPOL policy, any substantive changes to parchments must be approved through the GFC Executive Committee.
The Impact of the Proposal is	The redesign will remove the coat of arms from the embedded certificate parchment and change the signatures from four (President, Chancellor, Registrar, and Board Chair) to two (Registrar and Dean of the Faculty in which the certificate is offered). Presently, there are nine Faculties with embedded certificate programs: Agricultural, Life and Environmental Sciences, Augustana, Arts, Business, Education, Graduate Studies and Research (in cooperation with Nursing, Extension, and Rehabilitation Medicine), Native Studies, Physical Education and Recreation, and Science.
Replaces/Revises (eg, policies, resolutions)	See above.
Timeline/Implementation Date	Spring Convocation, 2015.
Estimated Cost	Paper and design costs only.
Sources of Funding	Office of the Registrar.
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	1. GFC Executive Committee Terms of Reference (3. Mandate) states that the GFC Executive Committee may "act as the executive body of General Faculties Council and, in general, carry out the functions delegated to it by General Faculties Council. [...]"

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<p>include identifying section numbers)</p>	<p>2. Routine Matters</p> <p>Matters which are routine in carrying out the policies approved by General Faculties Council are delegated to the Executive Committee.</p> <p>[...]"</p> <p>2. UAPPOL Parchment Procedure (under 'Degrees Policy'): "[...]"</p> <p>2. WORDING AND LANGUAGE</p> <p>All changes in the wording on parchments will be approved by the Faculty Council and then submitted by the Faculty to the Vice-Provost and University Registrar, who will forward any substantive changes to the General Faculties Council (GFC) Executive Committee for approval.</p> <p>[...]"</p>
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Routing (Include meeting dates)

<p>Consultative Route (parties who have seen the proposal and in what capacity)</p>	<p>Faculty Deans:</p> <p>Bill Connor (Acting Dean, Extension); Lesley Cormack (Dean, Arts); Stanford Blade (Dean, Agricultural, Life and Environmental Sciences); Allen Berger (Dean, Augustana); Joseph Doucet (Dean, Business); James Kehrer (Dean, Pharmacy and Pharmaceutical Sciences); David Lynch (Dean, Engineering); Douglas Miller (Dean, Medicine and Dentistry); Paul Paton (Dean, Law); Brendan Hokowhitu (Dean, Native Studies); Pierre-Yves Mocquais (Dean, Faculté Saint-Jean); Anita Molzhan (Dean, Nursing); Kerry Mummery (Dean, Physical Education and Recreation); Robert Haennel (Interim Dean, Rehabilitation Medicine); Jonathan Schaeffer (Dean, Science); Fern Snart (Dean, Education); Mazi Shirvani (Dean, Graduate Studies and Research); Kue Young (Dean, Public Health)</p>
<p>Approval Route (Governance) (including meeting dates)</p>	<p>GFC Executive Committee (January 12, 2015) – for final approval</p>
<p>Final Approver</p>	<p>GFC Executive Committee</p>

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

- Attachment 1 (page 1) – Revised Embedded Credit Certificate Parchment

Prepared by: Craig Soars, Policy and Transfer Credit Specialist, Office of the Registrar.
craig.soars@ualberta.ca

UNIVERSITY OF ALBERTA

FACULTY OF BUSINESS

Certifies by this document to all whom it may concern that

NAME

*having completed all the statutory requirements
has been granted the*

CERTIFICATE IN LEADERSHIP

*Given at this university on the ninth day of June, two thousand and fourteen
in the one hundred and seventh year of the University of Alberta.*

DEAN

REGISTRAR

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OUTLINE OF ISSUE

Agenda Title: **Proposed Changes to the Composition of the Selection/Review Committees for the Dean of Faculté Saint-Jean**

Motion: THAT the GFC Executive Committee approve, under delegated authority from the Board of Governors and General Faculties Council, proposed changes to the composition of the Selection and Review Committees for the Dean of Faculté Saint-Jean, as submitted by the Office of the Provost and Vice-President (Academic) and as set forth in Attachment 1, to take effect 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	Olive Yonge, Interim Provost and Vice-President (Academic)
Presenters	Olive Yonge, Interim Provost and Vice-President (Academic); Kathleen Brough, Senior Administrative Officer, Office of the Provost and Vice-President (Academic)
Subject	Composition of the Dean Selection and Review Committees for Individual Faculties - Faculté Saint-Jean

Details

Responsibility	Provost and Vice-President (Academic)
The Purpose of the Proposal is (please be specific)	To amend UAPPOL Composition of Dean Selection and Review Committees for Individual Faculties (Appendix A), Faculté Saint-Jean, of the UAPPOL Faculty Deans Selection Procedure, updating categories as follows: <ul style="list-style-type: none"> • Add a representative from contract academic staff instructor (Category A2.1) to the Committee.
The Impact of the Proposal is	See "Purpose."
Replaces/Revises (eg, policies, resolutions)	UAPPOL Composition of Dean Selection and Review Committees for Individual Faculties (Appendix A), Faculté Saint-Jean
Timeline/Implementation Date	Upon final approval.
Estimated Cost	N/A
Sources of Funding	N/A
Notes	The UAPPOL Faculty Deans Selection and Review Procedures direct that, in matters of a routine or editorial nature, the Board of Governors and GFC delegate their authority to the GFC Executive Committee, specifying that what is of a routine/editorial nature or of a substantive nature will be determined by the Provost and Vice-President (Academic). <u>Please note:</u> Interim Provost and Vice-President (Academic) Olive Yonge has determined these proposed amendments to be of a <u>routine/editorial</u> nature.

Alignment/Compliance

Alignment with Guiding Documents	<i>Dare to Discover</i> and Academic Plan (<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)	1. Post-Secondary Learning Act (PSLA): The PSLA gives General Faculties Council (GFC) responsibility, subject to the authority of the Board of Governors, "over academic affairs" (Section 26(1)). The Act provides that "[a] person shall not be appointed to, promoted to or dismissed from any position on the academic staff at a university

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	<p>except on the recommendation of the president made in accordance with procedures approved by the general faculties council (Section 22(2)). 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)).</p> <p>2. Post-Secondary Learning Act (PSLA): The Board of Governors has authority to employ “officers, employees or other persons and academic staff members” (Sections 83 and 84 of the <i>Act</i>) and to appoint the President, Vice-Presidents, Deans and Registrar (Sections 81, 82, 21(1) and 20(1) of the <i>Act</i>). The Board has delegated certain of these powers.</p> <p>3. UAPPOL: The Faculty Deans Selection Procedure states: “With respect to the procedures for the selection [review] of Faculty Deans, the Board and GFC delegate their approval authority to the GFC Executive Committee for all matters of a routine editorial nature. For matters of a substantive nature, the GFC Executive Committee shall recommend to the Board Human Resources and Compensation Committee (BHRCC). The Provost and Vice-President (Academic) will determine what is of a routine/editorial or substantive nature.” (This is restated in the Faculty Deans Review Procedure.)</p> <p><u>Note:</u> As stated above (‘Notes’), the Interim Provost and Vice-President (Academic) has determined these proposed amendments to be of a routine/editorial nature.</p>
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Routing (Include meeting dates)

Consultative Route (parties who have seen the proposal and in what capacity)	Faculté Saint-Jean Council; Provost and Vice-President (Academic)
Approval Route (Governance) (including meeting dates)	GFC Executive Committee (January 12, 2015) – for final approval
Final Approver	GFC Executive Committee

Attachments:

- Attachment 1 (pages 1 – 2): Comparative Table of Proposed Changes to the Composition of the Selection/Review Committees for the Dean of Faculté Saint-Jean

Prepared by: Kathleen Brough, Senior Administrative Officer, Office of the Provost and Vice-President (Academic), kathleen.brough@ualberta.ca

Faculty Deans Selection Procedure
Appendix A: Dean Selection Committees for Individual Faculties- Faculté Saint-Jean
Proposed Changes

CURRENT	PROPOSED
a) Provost and Vice-President (Academic), or designee, Chair.	a) Provost and Vice-President (Academic), or designee, Chair.
b) Vice-President (Research), or designee, Vice-Chair.	b) Vice-President (Research), or designee, Vice-Chair.
c) Dean of Graduate Studies and Research, or designee.	c) Dean of Graduate Studies and Research, or designee.
d. Four (4) full-time continuing faculty members (Category A1.1), one from each of the sections at Faculté Saint-Jean (Arts and Languages, Education, Sciences, Social Sciences) elected by the Faculty Council and one (1) full-time continuing academic staff member (Categories A1.2, A1.3 or A1.4) elected by that Faculty Council.	d. Four (4) full-time continuing faculty members (Category A1.1), one from each of the sections at Faculté Saint-Jean (Arts and Languages, Education, Sciences, Social Sciences) elected by the Faculty Council and one (1) full-time continuing academic staff member (Categories A1.2, A1.3 or A1.4) elected by that Faculty Council.
<i>New:</i>	e) One (1) contract academic staff instructor (category A2.1) to be elected by contract academic staff in the Faculté Saint-Jean.
<p>e) Two (2) full-time students from the Faculty concerned. When either graduate students or undergraduate students outnumber their counterparts by more than 20:1, both representatives shall be from the larger group. [Note: As of 1996 this ratio means that there will be one undergraduate student and one graduate student on all committees except Law and Faculté Saint-Jean (where each will have two undergraduates).]</p> <p>The undergraduate student representative(s) will be elected by L'Association des Universitaires de la Faculte Saint-Jean. Once elected, the name(s) and contact information of these student representative(s) must be forwarded by L'Association des Universitaires de la Faculté Saint-Jean to the Faculty Office, and the Students' Union. If L'Association is unable to fill the required number of undergraduate students, then the Students' Union will be responsible for the selection of the undergraduate representatives.</p> <p>If the 20:1 ratio is no longer met, then one (1) full-time graduate student representative(s) shall be elected by the organized Faculty Graduate Student Association, by whatever means the organization deems suitable, and shall replace the second undergraduate representative. This name shall be forwarded to the Graduate Students' Association and the representative will be ratified by the Graduate Students' Association Council. If no Faculty Graduate Student Association exists, the Graduate Students' Association shall be responsible for forwarding</p>	<p>f) Two (2) full-time students from the Faculty concerned. When either graduate students or undergraduate students outnumber their counterparts by more than 20:1, both representatives shall be from the larger group. [Note: As of 1996 this ratio means that there will be one undergraduate student and one graduate student on all committees except Law and Faculté Saint-Jean (where each will have two undergraduates).]</p> <p>The undergraduate student representative(s) will be elected by L'Association des Universitaires de la Faculte Saint-Jean. Once elected, the name(s) and contact information of these student representative(s) must be forwarded by L'Association des Universitaires de la Faculté Saint-Jean to the Faculty Office, and the Students' Union. If L'Association is unable to fill the required number of undergraduate students, then the Students' Union will be responsible for the selection of the undergraduate representatives.</p> <p>If the 20:1 ratio is no longer met, then one (1) full-time graduate student representative(s) shall be elected by the organized Faculty Graduate Student Association, by whatever means the organization deems suitable, and shall replace the second undergraduate representative. This name shall be forwarded to the Graduate Students' Association and the representative will be ratified by the Graduate Students' Association Council. If no Faculty Graduate Student Association exists, the Graduate Students' Association shall be responsible for forwarding</p>

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a name to the Graduate Students' Association Council for ratification.	a name to the Graduate Students' Association Council for ratification.
f) Three (3) representatives of the appropriate professional or community associations: one (1) of the Alberta Teachers' Association and two (2) of the community associations already represented at the Faculty Council.	g) Three (3) representatives of the appropriate professional or community associations: one (1) of the Alberta Teachers' Association and two (2) of the community associations already represented at the Faculty Council.
g) One (1) full-time member of the support staff (Category S1.0 or S2.0) from the Faculty concerned, elected by the full-time support staff (Category S1.0 or S2.0) in that Faculty. The Provost and Vice-President (Academic) shall be responsible for directing the election of any support staff member serving on a selection committee described in the Selection of Faculty Deans Procedure and the Review of Faculty Deans Procedure.	h) One (1) full-time member of the support staff (Category S1.0 or S2.0) from the Faculty concerned, elected by the full-time support staff (Category S1.0 or S2.0) in that Faculty. The Provost and Vice-President (Academic) shall be responsible for directing the election of any support staff member serving on a selection committee described in the Selection of Faculty Deans Procedure and the Review of Faculty Deans Procedure.
h) One (1) academic staff representative from Category A1.0, from outside the Faculty concerned, elected by GFC.	i) One (1) academic staff representative from Category A1.0, from outside the Faculty concerned, elected by GFC.
(Total members: 15)	(Total members: 16)