UNIVERSITY OF ALBERTA
UNIVERSITY GOVERNANCE

Monday, April 30, 2018
Council Chamber, 2-100 University Hall (UNH)
2:00 PM - 4:00 PM

OPENING SESSION

1.	Approval of the Agenda	David Turpin
2.	Approval of the Minutes of March 19, 2018	David Turpin
3.	Report from the President (no documents)	David Turpin
4.	New Members of GFC	David Turpin

[Note: A motion to appoint may be proposed only by a statutory member of GFC. A motion to receive may be proposed by any member of GFC.]

Motion 1: To Appoint New Members
Motion 2: To Receive New Members

DISCUSSION ITEMS

5.	Presentation: Transparent Governance Project (no documents) https://www.youtube.com/watch?v=pLFlzZysq3g	Austin Crapo Cecilia Xiang Christopher Walter Gregory Gould Julienne Belardo Vuk Radovic Eleni Stroulia
6.	University of Alberta response to the Report of the Truth and Reconciliation Committee (no documents)	Chris Andersen Shana Dion
7.	Bill 27: Conflicts of Interest Amendment Act - Updated Draft Employee Code of Conduct	Brad Hamdon
8.	SLOWPOKE Decommissioning - Update (no documents)	Andrew Sharman

ACTION ITEMS

9.	School of Public Health termination of the Post Graduate Diploma in Health Promotion	Heather Zwicker Kue Young Steven Dew

Motion: To Recommend Board of Governors Approval

10.	Terms of Reference for a new free-standing GFC Nominating Committee and the Disbandment of the GFC Replenishment Committee	Jonathan White

Motion: To Approve

DISCUSSION ITEMS

11.   Question Period   David Turpin

      11.1 Question from GFC member Ryan Dunch regarding Duty to Accommodate and university policies.

      11.2 Question from GFC member Ilya Ushakov regarding budget allocation

      11.3 Question from GFC member Ilya Ushakov regarding the Higher Education Price Index (HEPI) and the Academic Price Index (API).

      11.4 Question from GFC member Marina Banister regarding international undergraduate student tuition

      11.5 Question from GFC member Marina Banister regarding the budget

      11.6 Question from GFC member Shane Scott regarding remote access to GFC and standing committee meetings

      11.7 Question from GFC member Shane Scott regarding support for the Peter Lougheed Leadership College (PLLC)

INFORMATION REPORTS

      [If a GFC member has a question about a report, or feels that the report should be discussed by GFC, the GFC member should notify the Secretary to GFC, in writing, two business days or more before GFC meets so that the Committee Chair (or relevant expert) can be invited to attend.]

12.   Report of the GFC Executive Committee

13.   Report of the GFC Academic Planning Committee

14.   Report of the GFC Academic Standards Committee

15.   Report of the GFC Undergraduate Awards and Scholarship Committee

16.   Report of the GFC University Teaching Awards Committee

17.   GFC Nominations and Elections
       Apply Now! Staff Committee Applications deadline is April 30, 2018
       - [Get Involved! How to Participate in Governance](#)
       - [Anticipated Vacancies on 2018-19 GFC Committees](#)
         (New Staff Memberships commence July 1, 2018)

18.   Report of the Board of Governors

19.   Information Items
        A. Annual Report on Graduate Enrolment

20.   Information Forwarded to GFC Members Between Meetings (no items
        to date)

CLOSING SESSION

21.   Next meeting date: May 28, 2018

Documentation was before members unless otherwise noted.

Meeting REGRETS to: Heather Richholt, 780-492-1937, richholt@ualberta.ca
Prepared by: Meg Brolley, GFC Secretary
University Governance   www.governance.ualberta.ca

Hallie Brodie [Follow]

Internal Communications Specialist at the University of Alberta.

Apr 25 · 4 min read

Consider This: Why Should the University Stand Up for a Controversial Honorary Degree?

David Suzuki is a controversial figure. A companion of the Order of Canada in recognition of his promotion of science literacy and education, he has been an inspiration to many around the world and a force for major societal change. He has also attracted strong criticism for the positions he advocates. Since the University of Alberta announced we will confer an honorary degree on David Suzuki at our spring convocation, that controversy has flared.

David Suzuki is a vocal critic of Alberta's energy industry. I have heard from many Albertans who are dismayed by our decision, especially now that the Trans Mountain pipeline project is under threat. I understand the importance of Alberta's energy industry, and we are proud of the role that U of A researchers and alumni have played in its development since the 1920s.

Many alumni, donors, and friends have asked me to reverse the decision. They have let me know that their financial gifts and partnerships with the university depend on it. Others have suggested the university's very reputation rests on our doing so.

Withdrawing David Suzuki's honorary degree might seem an easy solution to the controversy. So why would the U of A continue to support such an unpopular and untimely decision?

We will stand by our decision because our reputation as a university—an institution founded on the principles of freedom of inquiry, academic integrity, and independence—depends on it.

Universities must not be afraid of controversy. Instead, we must be its champion. Stifle controversy and you also stifle the pursuit of knowledge, the generation of ideas, and the discovery of new truths. Take uncomfortable ideas, debate, and conflict out of the university and its fundamental role in society disappears.

There are few, if any, organizations in society that can tolerate the discord that comes along with freedom of inquiry. That is the university's special role. To preserve it, we must allow our people, and honour others, who pursue ideas that sometimes trouble us, shock our sense of the true and right, and even provoke our anger. The university must give people the space and support they need to think independently without fear of external control or reprisal. Otherwise the constraint on the imagination and the intelligence will slow the speed of change and innovation, if not suppress it altogether. Our students will learn that conformity, rather than creativity and innovation, is the goal of learning and education.

In the early days of the U of A, president Henry Marshall Tory toured Alberta making the case for research. He was often met with scepticism about its value because people feared that it would challenge conventional wisdom. When Tory raised the possibility of developing the oilsands, for example, one community leader responded by saying, "God has been mixing those tars and sands for thousands of years and probably knows more about it than the fellows at the university."

Tory was undeterred. He instead recruited Dr. Karl Clark, who went on to develop the first successful means of separating and refining heavy

oil from the oilsands.

Alberta's energy industry is what it is today precisely because scientists, thinkers, entrepreneurs, and educators have had the independence and ability to pursue ideas that many thought were absurd, perhaps even disrespectful. Today, researchers continue to ask difficult questions and teach their students how to do the same. The U of A supports research that both strengthens Alberta's energy industry and examines the environmental evidence, holds the industry to account, and leads to innovations and policy that make it more sustainable.

The U of A is home to many such contradictory and conflicting modes of inquiry, research, and teaching. Each year, that diversity is reflected in the nomination and selection of honorary degree recipients. We recognize that for many Albertans David Suzuki is an unpopular, untimely choice, but his very nomination is an indication that for many others he is a worthy, timely choice. That contradiction and controversy is a sign that the U of A is what it should be: an independent, autonomous institution of higher learning that champions freedom of thought and academic integrity above all else.

David Turpin—President and Vice-chancellor

David Turpin, CM, PhD, LLD, FRSC, is the 13th president and vice-chancellor of the University of Alberta. Well respected among Canada's post-secondary leaders, he is a former chair of the World University Service of Canada, Vice-Chair of the U15 Executive Heads, and serves

as a member of both the Universities Canada Board of Directors and Research Advisory Committee. He is a distinguished scholar and Thomson ISI highly cited researcher, and has earned many honours and distinctions, including fellowship in the Order of Canada and the Royal Society of Canada.

UNIVERSITY OF ALBERTA
UNIVERSITY GOVERNANCE

Meeting of April 30, 2018

MOTION I: TO APPOINT *[This motion may be proposed only by statutory members of GFC]***:**

The following undergraduate student representatives to serve on GFC for terms commencing May 1, 2018 and ending April 30, 2019:

Brandi Kobes	Faculty of Agricultural, Life and Environmental Sciences
Erin Allin	Faculty of Arts
Robert Bilak	Faculty of Arts
Yiming Chen	Faculty of Arts
Victoria deJong	Faculty of Arts
Mariam Hosseiny	Faculty of Arts
Mpoe Mogale	Faculty of Arts
Dustin Sandler	Faculty of Arts
Mitch Wilson	Faculty of Arts
John Hussein	Alberta School of Business
Luke Statt	Alberta School of Business
Tahra Haddouche	Campus Saint-Jean
Amlan Bose	Faculty of Engineering
Ryan Holowaty	Faculty of Engineering
Cindy Liang	Faculty of Engineering
Syed Mustafa	Faculty of Engineering
Janet Yao	Faculty of Engineering
David Chung	Faculty of Law
Albert Hu	Faculty of Medicine and Dentistry
Nathan Sunday	Faculty of Native Studies
Abigail Bridarolli	Faculty of Nursing
Miray Aizouki	Faculty of Pharmacy and Pharmaceutical Sciences
Joel Agarwal	Faculty of Science
Tiffany Bruce	Faculty of Science
Julia Craig	Faculty of Science
Genna DiPinto	Faculty of Science
Hyejun Kim	Faculty of Science
Shuaa Rizvi	Faculty of Science
Rachel Wang	Faculty of Science

The following graduate student representatives at-large to serve on GFC for terms commencing May 1, 2018 and ending April 30, 2019:

Saleema Allana	Faculty of Nursing
Vahid Ayan	Alberta School of Business
Bishoi Aziz	Faculty of Medicine and Dentistry
Natalie Diether	Faculty of Agricultural, Life and Environmental Sciences
Gautam Gaur	Faculty of Agricultural, Life and Environmental Sciences
Osman Hojanepesov	Faculty of Medicine and Dentistry
Taher Jafferjee	Faculty of Science
Maryam Kebbe	Faculty of Medicine and Dentistry
Carmel Montgomery	Faculty of Medicine and Dentistry
Sabitha Rajaruban	Faculty of Medicine and Dentistry
Samina Sana	School of Public Health
Andrews Tawiah	Faculty of Rehabilitation Medicine
Allan (Yilun) Wu	Faculty of Medicine and Dentistry
Ding Xu	Faculty of Arts

The following undergraduate student members elected by the Students' Union to the Board of Governors and appointed to GFC for a term that is concurrent with terms on the Board (May 1, 2018 to April 30, 2019):

Reed Larsen	President, Students' Union
Levi Flaman	Student Appointee (Board of Governors Representative)

The following graduate student member elected by the Graduate Students' Association to the Board of Governors and appointed to GFC for a term that is concurrent with a term on the Board (May 1, 2018 to April 30, 2019):

Sasha van der Klein	President, Graduate Students' Association

MOTION II: TO RECEIVE [This motion may be proposed by any member of GFC]**:**

The following statutory undergraduate student members nominated by the Students' Union to serve on GFC for terms beginning May 1, 2018 and ending April 30, 2019:

Akanksha Bhatnagar	Vice-President (Academic), Students' Union
Andre Bourgeois	Vice-President (Student Life), Students' Union

The following statutory graduate student member nominated by the Graduate Students' Association to serve on GFC for a term beginning May 1, 2018 and ending April 30, 2019:

Masoud Aliramezani   Vice-President (Academic), Graduate Students' Association

The following *ex officio* member, to serve on GFC for a term of office beginning May 1, 2018 and extending for the duration of the appointment:

Matthias Ruth   Vice-President (Research)

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OpenGov:

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A Portal to Improve Access to Governance Activities at the UofA

Julienne Belardo, Austin Crapo, Gregory Gould, Vuk Radovic, Christopher Walter, Cecilia Xiang *The CMPUT 401 OpenGov Team*	Ann Hodgson *The Client*
Eleni Stroulia *CMPUT 401 Instructor* *Professor,* Computing Science	**Marion Haggarty-France** **Meg Brolley** *Stakeholders/Consultants*

Experiential Learning in CMPUT401

1. A client with a need for a software system
2. A project specification (co-developed by the client and the instructor)
3. A student team (a TA, student consultants from other courses)
4. Three months (and a lot of work)

Experiential Learning in CMPUT401

– – –

1. A client with a need for a software system
2. A project specification (co-developed by the client and the instructor)
3. A student team (a TA, student consultants from other courses)
4. Three months (and a lot of work)

→ A running prototype
   + developer documentation
   + user manuals

The OpenGov Portal
(a really high-level view)

3 worksheets (1000+ cells)

526 PDFs
2600+ agenda items
1.85GB

Answer: text segment, metadata

Query: terms, committee(s) person(s)
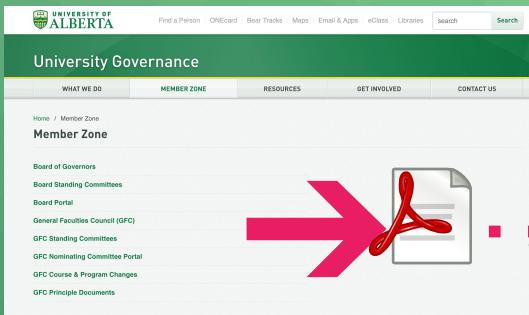
Experiential Learning in CMPUT401

−−−−

And our screencast:

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What's Next?

General Faculties Council University of Alberta's Response to the TRC

April 30th, 2018

Indigenous Initiatives Team

Chris Andersen
Dean, Faculty of Native Studies

Shana Dion
Assistant Dean,
First Nation, Métis and
Inuit students

Kelsey Dokis-Jansen - Indigenous Initiatives Manager

Amanda Gould
Indigenous Event/Project
Coordinator

Erin Prefontaine
Communications Associate,
Indigenous Initiatives
and
Equity, Diversity & Inclusion

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Broad Outline for today

1. Before the TRC
2. The TRC in a university context
3. the UofA TRC response in *For the Public Good*

4. Major categories of initiatives
   a. Communication/gathering advice
   b. Capacity building
   c. Student support
   d. Looking forward

Before the TRC

- Faculty of Native Studies (formerly the School of Native Studies), est. 1984
- First Peoples' House (formerly Aboriginal Student Services Centre)
    - Transition Year Program
- the Faculty of Education Indigenous Education Council
    - Aboriginal Teacher Education Program
- Canadian Indigenous Languages and Literacy Development Institute (CILLDI)
- Council on Aboriginal Initiatives (more on that below)
- Wahkohtowin Lodge (Augustana Campus)

The TRC in a university context

- Several of the TRC's Calls to Action relate directly to the university's ability to demonstrate leadership on reconciliation
  - "The goal is to ensure that the University of Alberta is a welcoming and safe environment for Indigenous students, staff, faculty and community members and that programs and strategies reflect the institutional commitment to incorporating Indigenous perspectives."
  - An Indigenous Initiatives portfolio has been established in the Office of the Provost & Vice-President (Academic) to facilitate institutional collaboration and communication to support the development and implementation of programs, services and initiatives related to Indigenous engagement at the University of Alberta.
- https://www.ualberta.ca/provost/our-initiatives/indigenous-initiatives

For the Public Good in Indigenous Initiatives

- OBJECTIVE 4: Develop...a thoughtful, respectful, meaningful, and sustainable response to the report of the Truth and Reconciliation Commission of Canada.
- OBJECTIVE 1: Build a diverse, inclusive community
- OBJECTIVE 2: Create a faculty renewal program
- OBJECTIVE 8: Create and facilitate co-curricular and extracurricular learning experiences for undergraduate and graduate students.
- OBJECTIVE 16: Enhance, increase, and sustain reciprocal, mutually beneficial community relations, community engagement, and community-engaged research and scholarship

Communications/Advice

- Online: Indigenous Initiatives website
  - Currently being revamped
- Town halls
  - Communication and conversation vehicles (3-4/year)
  - E.g. Territorial acknowledgment statements came out of these
- Annual Networking Events
  - Faculty-specific initiatives

- Council of Indigenous alumni
  - First event took place June, 2017
- Annual "Big" Events
  - Building Reconciliation Forum
  - MOU with the National Centre for Truth and Reconciliation
  - MOU with Gwitch'in Tribal Council
- Communications hire: Erin Prefontaine

Capacity building

- Emphasis on structural change
- Emphasis on <u>hiring people</u> (Obj. 2(ii))
  - 40+ hires, 30+ Indigenous hires
  - 24 faculty positions, 8 Faculties
- Support positions in:
  - Provost's Office
  - Dean of Students (Obj. 1(ii))
  - Registrar's Office (Obj. 1(ii))
  - Centre for Teaching and Learning

- Also focused on revamping existing <u>policies and procedures</u>
  - Community Collaboration and Research Guidelines (in concert with REB and VP (Research)) (Obj. 4(i); Obj. 16)
  - Ceremonial Policy

Student Support

- Multiple positions, including the Indigenous Student Recruitment Manager (RO); Assistant Dean (First Nations, Métis and Inuit Students), O-DoS
- First Peoples' House
  - Dedicated student housing (family, from 2-10 units; single, from 10-28 units, including HUB spaces) (Obj. 23(iii))
  - Student tutoring (Obj. 8(ii))
  - Writing mentors (FN & Métis grad students mentoring undergrads) (Obj. 8(ii)).
- FGSR: Inspiring Possibilities (Obj. 1(i)).
- Registrar's Office: removed barriers to emergency funding (Obj. 1(iv))

Ceremonial Guidelines

- F&O staff are knowledgeable

- Almost 70 rooms are approved

- New spaces can be assessed and added upon request to the Fire Safety Advisor

- We still have work to do on helping to bring our neighbours along, please let us know if we can assist

Looking forward: 2018/19 priorities, and beyond

1. Communication: New Website, Town Halls
2. Indigenous Community Engagement (2 parts): (1) Research ethics process; (2) Financial administrative processes for elder/community engagement
3. Move toward Vice Provost-Indigenous Initiatives model:
   a. Revamp the Council on Aboriginal Initiatives to make it more comprehensive, representative, and transparent
   b. Continue our work to build an Indigenous alumni council

Questions?

OUTLINE OF ISSUE
Advice, Discussion, Information Item

Agenda Title: **Bill 27: Conflicts of Interest Amendment Act – Updated Draft Employee Code of Conduct**

Item

Proposed by	**Vice-President (Finance & Administration) and Office of General Counsel**
Presenter	Brad Hamdon, General Counsel

Details

Responsibility	**Vice-President (Finance & Administration) and Office of General Counsel**
The Purpose of the item is (please be specific)	To provide GFC with an update and overview of the draft Code of Conduct: Employees' Obligations Respecting Conflicts of Interest, a new code created to comply with the university's obligations in respect to Bill 27 – Conflicts of Interest Amendment Act.
Timeline/Implementation Date	April 30, 2018 deadline for submission to Alberta Ethics Commissioner
Supplementary Notes and context	The Conflicts of Interest Amendment Act came into force in December of 2017. It imposes obligations on all public agencies in Alberta, including the University of Alberta, similar to those obligations imposed on government departments and government employees in respect to managing conflicts of interest.

The university must submit a draft Code of Conduct applying to all employees of the university to the Alberta Ethics Commissioner by April 30, 2018. To comply with the Conflicts of Interest Amendment Act, the Code of Conduct must address the following

− A requirement to act impartially in carrying out their duties;
− Restrictions on acting in self-interest or furthering private interests;
− Disclosure of real and apparent conflicts of interest;
− Restrictions on the acceptance of gifts, including monetary limits and maximum values; and
− Limitations on concurrent employment or appointments with a process for approval.

We believe that existing policies and procedures and collective agreement language are in place to comply with the majority of the Act's requirements. For example, the university has a Statement of Ethical Conduct, an Ethical Conduct and Safe Disclosure Policy and Procedure, a Conflict of Interest and Conflict of Commitment Policy and Procedure, collective agreement provisions on supplemental professional activity and more.

The one area where a significant gap occurs is with respect to the acceptance of gifts. New language has been drafted in this area.

The Ethics Commissioner has indicated that she will not accept a Code(s) of Conduct with hyperlink references to other policy document. As a result, we have been forced to adopt a "copy and paste" approach, copying what we believe are the most relevant sections from existing |

| | UAPPOL policies, procedures and collective agreements to address the requirements of the legislation.

Two versions of the draft Code of Conduct are attached for discussion. A clean version and an annotated version which illustrates the original source of the content of the Code (i.e. existing UAPPOL policy or procedure, collective agreements).

A draft Code of Conduct was discussed at GFC Executive on April 9 and changes were made based on comments received. Because the final draft must be submitted April 30, any feedback received at the April 30 GFC meeting will be considered along with any comments we receive from the Ethics Commissioner.

We anticipate receiving feedback from the Ethics Commissioner later this year. We will review and incorporate that feedback as needed and bring a final version of the Code of Conduct back through the governance process for review and approval. |
|---|---|

Engagement and Routing (Include meeting dates)

| Participation: (parties who have seen the proposal and in what capacity)

<For further information see the link posted on the [Governance Toolkit section Student Participation Protocol](#)>	*Those who have been **informed**:* • GFC Exec, PEC-O, PEC-S, Deans Council
	*Those who have been **consulted**:* • PEC-O, Deans Council, General Counsel, external counsel
	*Those who are actively **participating**:* • Brad Hamdon, General Counsel • Wayne Patterson, Vice-Provost and Associate Vice-President (Human Resources) • Joyce Hiller, Director, HR Operations, Human Resource Services • Giovana Bianchi, Senior Administrative Officer, Office of the Vice-President (Finance & Administration) • John Law, Special Advisor, Faculty and Staff Relations • Marj Cayford, Senior Human Resource Partner, Human Resource Services

Alignment/Compliance

Alignment with Guiding Documents	UAPPOL Policy and Procedures
Compliance with Legislation, Policy and/or Procedure Relevant to the Proposal (please quote legislation and include identifying section numbers)	Conflicts of Interest Act Bill 27: Conflicts of Interest Amendment Act

Attachments

1. DRAFT Code of Conduct: Employees' Obligations Respecting Conflicts of Interest (23 pages)
2. DRAFT Code of Conduct: Employees' Obligations Respecting Conflicts of Interest – Annotated Version (23 pages)

Prepared by: Wayne Patterson, Vice-Provost and Associate Vice-President (Human Resources)

Code of Conduct:

Employees' Obligations Respecting Conflict of Interest

DRAFT

April 17, 2018

Table of Contents

A. Preamble

The highest standards of ethical conduct are essential to the success of any great institution. Academic freedom, open inquiry and the pursuit of truth, which form the foundation of an institution of higher learning, depend on a shared commitment to the highest standards of ethical conduct.

The substantive language in this Code has been copied verbatim from existing University policies, procedures and collective agreements.

B. Application of this Code

This *Code of Conduct: Employees' Obligations Respecting Conflicts of Interest* (the "Code") applies in respect of all Representatives of the University, including the President of the University when acting as an Employee, but does not include:

- Members of the Board of Governors or the President of the University when acting as a Board Member, who are governed by the separate *Code of Conduct: Board of Governors;*

- Non-employees, including professors emeriti, visiting academics, volunteers, contractors, or others acting on behalf of the University. The obligations and standards of conduct owed by these persons are contained in the individual policies and procedures provided by the University.

Together, the *Code of Conduct: Employees' Obligations Respecting Conflicts of Interest* and the *Code of Conduct: President and Board Members' Obligations Respecting Conflicts of Interest* work together to exemplify the University's ethical standards, provide individuals with principles to guide their behaviour, and emphasize the importance the University places on the avoidance of real or apparent conflicts of interest.

Non-compliance with this Code by a Representative of the University of Alberta constitutes misconduct and may result in disciplinary action, up to and including termination of employment. Discipline for non-compliance may be pursued under the applicable collective agreement, University policies and procedures, the Handbook of Terms and Conditions for Management and Professional Staff (Excluded), or law.

C. Global Definitions

The following definitions apply to all sections of this Code, excepting where a definition is specifically provided as otherwise in a section of this Code, within a collective agreement, or in the Handbook of Terms and Conditions of Employment For Management and Professional Staff (Excluded):

Allowed Conflict: Conflict that can be managed in a way that is compliant with legislation, considers, protects and serves the interests, integrity and reputation of the University, and will withstand the test of reasonable and independent scrutiny.

Board of Governors: The Governors of the University of Alberta as defined in the *Post Secondary Learning Act* P-19.5 2003.

Conflict(s): Conflict of interest, conflict of commitment, or institutional conflict.

Conflict of Commitment: A situation whereby the external or personal activities, undertakings or relationships of a person are so demanding or organized in such a manner or are otherwise such that they may interfere with the person's obligations to the University or to others or institutions that are separate from the University but to whom the person owes an obligation because of their relationship to the University.

Conflict of Interest: A situation in which there is or may be perceived to be a divergence between the private financial benefit or financial interest or personal benefit of a person, **family member**, or an **outside party**, and that person's obligations to the University, such that an impartial observer might reasonably question whether related actions to be taken or decisions made by the person would be influenced by consideration of the person's own interests.

Conflict Review Officer: According to those relationships detailed in the disclosure report, the next appropriate senior reporting officer.

Disclosure Report: A report that discloses conflict-type specific considerations relevant to deciding whether a person wishing to proceed with an activity that would or may give rise to conflict should be allowed to undertake that activity.

Family Member: Includes a person's spouse or adult interdependent partner or another individual to whom the person is related by blood, marriage or adoption.

Financial Benefit: The receipt or expectation of anything of monetary value, including pay or salary or other payments for services (e.g. consulting fees or honoraria), equity (shares, options or the like) security or other ownership interests, and intellectual property rights (e.g. patents, copyrights, royalties or carried interests or options related to such rights)

Financial Interest:
(A) Ownership in the form of shares in a privately held company or

(B) ownership in a publicly traded company in the form of shares with a market value of greater than $50,000.00 or representing more than 10% of the company's outstanding shares or

(C) where the person is a member of a board of either a privately held or publicly traded company.

Good Faith (or "Good Faith Disclosure"): A submission of information, that is based on reasonable belief and is not malicious, frivolous or vexatious, to the appropriate University authority.

Institutional Conflict: A situation in which the University, or an institution, has an existing relationship with a party with which the University or the institution proposes to enter into an activity such that an impartial observer might reasonably question whether the existing relationship might prejudice decisions of the University or an institution with respect to the activity.

Office of Administrative Responsibility: The area within University administration, that is ultimately responsible for administering a particular policy and/or procedure.

Outside Party: Includes any corporation, partnership, sole proprietorship or other legal entity organized for the furtherance of a non-University interest (for profit or otherwise) and clients or patients to whom the person or the University provides individual professional services

Personal Benefit: The receipt or expectation of any personal (workplace or otherwise) benefit of a non-monetary value.

Reporting Individual: A person required to report in accordance with this Code.

Reporting Officer: For any person, the holder of the office to whom the person reports or who has supervisory responsibility over the reporting individual. Specifically, for example:

- for a Vice-President, the President.
- for a Deputy Provost or a Vice-Provost, the Provost and Vice-President (Academic).
- for an Assistant or Associate Vice-President, the appropriate Vice President
- for a Dean of a Faculty and the Chief Librarian, the Provost and Vice-President (Academic).
- for an Associate Dean or Vice-Dean, the Dean.
- for a Chair of a Department, the Dean.
- for the Director of an administrative unit or equivalent, the Vice-President responsible for that unit.
- for support staff, the holder of the office to whom the support staff reports or who has supervisory responsibility over the support staff; however, the reporting officer for a support staff will not be another support staff.
- for academic staff of a Faculty with departments, the Chair.
- for academic staff of a Faculty without departments, the Dean.
- for a post-doctoral fellow, the supervisor of the post-doctoral fellow.
- for a graduate student, the student's supervisor or supervisory committee.
- for a staff member of a centre or institute, the person within the University responsible for that centre or institute

Representative of the University of Alberta (or "Representative"): Executive officers, faculty, staff, post-doctoral fellows, and student employees.

Reprisal: Punitive actions taken against a person for making a good faith disclosure, including, but not limited to:

- Disciplinary action
- Termination
- Adversely affecting employment conditions
- A threat to do any of the above

Respondent: A party against whom an allegation has been made.

Safe Disclosure: Individuals are not subject to reprisal for reporting allegations made in good faith.

D. Ethical Conduct

Overview

The highest standards of ethical conduct are essential to the success of any great institution. Academic freedom, open inquiry and the pursuit of truth, which form the foundation of an institution of higher learning, depend on a shared commitment to the highest standards of ethical conduct.

Whether involved in research, teaching or the governance and administration of the organization, all Representatives of the University of Alberta have an obligation to conduct themselves in a manner that is consistent with the University's stated values regarding ethical conduct.

As part of this obligation, and to protect the University and individuals from harm, Representatives of the University are encouraged to report conduct that does not meet the University's ethical standards.

Purpose

- Describe the expectations concerning ethical conduct for Representatives of the University
- Confirm the rights of individuals in reporting conduct that does not meet the University's standards

- Confirm the University's obligation to protect person(s) making a **good faith disclosure** from **reprisal**
- Confirm the University's obligation to protect the rights of the person(s) against whom allegations are made
- To outline the procedures individuals should take when reporting conduct that does not meet the University's ethical standards

Policy

1. <u>Standards of Ethical Conduct</u>

All Representatives of the University of Alberta shall maintain the highest standards of ethical conduct, in which their actions and behaviours uphold the principles of integrity, respect and accountability, supported by awareness of and compliance with relevant University policies and procedures, collective agreements, government legislation and relevant professional standards.

2. <u>Failure to Comply</u>

Failure to comply with this policy may result in disciplinary action, up to and including termination of employment and prosecution if appropriate.

3. <u>Reporting</u>

Representatives of the University are encouraged to report conduct that does not meet the University's ethical standards. Such reports must meet the definition of good faith disclosure and be submitted to the appropriate authority.

The University will maintain an environment of **safe disclosure** when such a report is made, in which:

a. The persons and offices that receive and/or investigate such reports shall protect the identity of the person making the report to the extent possible under government legislation, University policies, and collective agreements in effect at the time of the alleged misconduct.

b. The University will not tolerate any reprisal, directly or indirectly, against anyone who, in good faith, makes a report.

c. All individuals against whom allegations are made will maintain the rights, privileges and protections afforded to them through the *Freedom of Information and Protection of Privacy (FOIPP) Act* and other applicable government legislation, University policies, and collective agreements in effect at the time of the alleged misconduct.

Procedure

4. <u>Disclosure of Misconduct</u>

University process indicates that allegations or concerns of conduct that does not meet the University's ethical standards are primarily addressed utilizing the procedures associated with relevant University policies and procedures, collective agreements, government legislation and relevant professional standards.

Complainants should generally contact their manager or supervisor to disclose matters of alleged misconduct. Alternately, complainants may also contact the **Office of Administrative Responsibility** associated with the relevant policy and/or procedure.

In instances where it is unknown where to disclose the matter, or the complainant has reasonable apprehension about coming forward, reports can be made to the Office of Safe Disclosure and Human Rights (OSDHR).

Initial disclosures to the OSDHR may be made verbally or in writing. OSDHR may request that disclosures be made in writing dependent on the nature of the concern and the requirements of the underlying policies. Be advised that disclosures made to OSDHR do not necessarily constitute institutional knowledge as this office's main goal is to provide advisory and referral services to the appropriate mechanism.

Typically, in order for matters to be formally addressed, they will need to be reported to a **Representative of the University of Alberta** outside the OSDHR.

In general, disclosures should comprise of:

● The date and time of the incident(s);

● Identification of individuals responsible for the misconduct;

● Details of the alleged misconduct; and

● Name and contact information of the individual making the disclosure. Anonymous reporting may be permitted if it is permitted in the underlying processes (e.g. anonymous reporting is considered for fraud and irregularity but not for harassment).

5. <u>Good Faith Disclosures and Reprisal</u>

Any person making a good faith disclosure shall not be subject to reprisal.
Any person who believes they are subject to reprisal should contact the OSDHR.

6. <u>Duty of Respondents</u>

Those persons against whom allegations are made (**respondents**) must be treated in a fair and reasonable manner. Specifically, should formal complaints be made, respondents are entitled to:

● Be informed as to who has made the allegation against them, except for matters where the relevant policy and procedure specifically allow for anonymous or confidential complaints or the safety of the complainant may be in question;

● Only respond to allegations that have been made in a timely manner (as outlined in relevant policy if applicable);

● Be privy to enough details pertaining to the allegation to respond accurately; and/or

● Have the matter resolved in an expedient manner.

Respondents who feel that this duty is not being met, should contact the OSDHR.

E. Avoidance of Conflicts of Interest

Overview

The University is committed to academic freedom and excellence in teaching and research. In pursuit of this mission, the University and members of the University community frequently engage in activities or situations where actual or perceived **conflicts** will exist, or which raises the potential of actual or perceived conflicts. Rather than disallow all conflicts, the University assesses conflict considerations and, when appropriate, permits certain managed conflict.

However, conflict is permitted only if it can be managed in a way that:

a. Is compliant with legislation;
b. Considers, protects and serves the interests, integrity and reputation of the University; and,
c. Withstands the test of reasonable and independent scrutiny.

To maintain public trust and confidence, the University manages conflict in a fair, open, consistent, and practical manner. All members of the University share in the responsibility to appropriately address conflict.

Assessing conflict requires the collection of personal information as defined in the *Freedom of Information and Protection of Privacy Act*. The University will conduct this and other conflict-related activities with the utmost discretion and in compliance with legislation.

Definitions

For the purposes of this Section 'E' only, the following definitions apply:

Academic Staff: An employee of the Board of Governors who, as a member of a category of employees or individually, has been designated as an academic staff member by the Board of Governors.

Conflict Review Committee: A committee established in accordance with this section.

Employee: all University of Alberta employees, including but not limited to faculty, staff, post-doctoral fellows, and student employees.

Event: means a social, cultural, or sporting activity, charity or special functions, presentations, awards ceremonies, fundraisers, conferences and meetings hosted by a third party. It includes lunches, dinner, drinks, or other meals taken together.

Gift: means a gift, bonus, reward, donation, favour, currency of any kind or gift card, given to an individual whether by request or not. It does not include awards received.

Institution: The University or any corporation, partnership, or other legal entity owned, controlled or subject to the direction of the University.

Other Staff: Those individuals employed by the University on a part or full-time basis, who are not academic staff or support staff, and whether or not they are part of a bargaining unit.

Person: Includes academic staff, support staff, other staff, postdoctoral fellows and a person's corporation.

Person's Corporation: Any professional corporation or corporation beneficially owned or controlled by a person.

Students: Includes undergraduate and graduate students.

Support Staff: An employee of the University who is a member of, and pays dues to, the Non-Academic Staff Association (NASA).

Policy

The University will be vigilant and pro-active concerning conflict.

A person engaging in an activity or a situation that involves either existing (actual or perceived) or potential (actual or perceived) conflict shall report the conflict so that it may be assessed and, where appropriate, managed in accordance with the associated procedures. A person shall not engage in, or continue, the activity or situation until the University has assessed whether the conflict is permitted and, if so, how the conflict will be managed.

The University determines whether or not a situation or activity involves conflict. Therefore, all existing or potential conflict must be reported.

Purpose

- To reduce the incidence of conflict or potential conflict (**conflict of interest** or **conflict of commitment** or **institutional conflict**) and appropriately manage any permitted conduct.

- To clarify reporting requirements for existing or potential conflict, whether it is actual or perceived, and to outline the process for assessing conflict in order to make informed and sound decisions pertaining to matters o**f** conflict of commitment or conflict of interest.

Procedure - Disclosure and Assessment of Conflicts of Interest

1. **Reporting by a Person**

   a. A person engaging in an activity or situation that involves either existing or potential conflict shall report the conflict so that it may be assessed and, where appropriate, managed.

   b. A person shall not engage in, or continue, the activity or situation until the University has assessed whether the conflict is permitted and, if so, how the conflict will be managed.

   c. In accordance with this procedure, a person will self-assess and report activities or situations that may involve actual or perceived conflict and will complete a **disclosure report** and submit it to a **reporting officer**.

   d. The following persons are required to complete a disclosure report on an annual basis, according to a 12-month in the-future **reporting period**:

      - **academic staff** under the Faculty Agreement or Librarian Agreement or Faculty Service Officer Agreement or Administrative and Professional Officer Agreement;

      - **support staff** who make financial or hiring decisions or who may have a research-related conflict;

      - **other staff** who make financial or hiring decisions;

      - other staff employed in a department, office or unit which has as its primary function the creation of legal relationships with individuals or entities that are not part of the University;

      - other staff who have the authority to enter into contracts or commitments on behalf of the University;

      - other staff who, as part of normal duties, have regular formal contact with individuals or entities that are not subject to the conflict policy;

      - a person who may have a research-related conflict.

   e. Notwithstanding the requirements outlined in 1.b. of this procedure, the University has the discretion to require additional persons to complete a disclosure report on an annual basis, according to a 12-month in-the-future reporting period, or on a case-by-case basis.

f. Any time there is a change in material facts that were disclosed in a disclosure report, a **reporting individual** must submit a revised disclosure report immediately.

g. A reporting officer will:

- solicit and monitor the submission of disclosure reports from those persons who they anticipate receiving a disclosure report;

- send second notice date-specified requests for a disclosure report to persons from whom they would anticipate receiving a disclosure report; and

- refer to a **conflict review officer** in instances where an expected disclosure report has not been submitted.

h. The failure of a reporting officer to solicit a disclosure report does not release a person from their obligation to disclose existing or potential conflict.

2. **Assessment by a Reporting Officer**

a. A reporting officer will receive disclosure reports from reporting individuals and will assess the information that has been provided in the disclosure report in accordance with this procedure.

b. If the reporting officer has a financial benefit or **financial interest** or **personal benefit** in the considerations being assessed, the reporting officer will refer the disclosure report to the next appropriate senior reporting officer who will assume the role of reporting officer or assign an alternate.

c. Where an existing or potential activity or situation is assessed for an actual or perceived conflict and where it is determined that there is:

- no conflict, the reporting officer will contact the reporting individual to indicate that they are free to proceed with the activity or engage in the situation.

- a conflict and the activity or situation does not sufficiently serve the interests of the University or is not appropriately manageable or not able to withstand the test of reasonable and independent scrutiny, the conflict will not be allowed and the reporting officer will contact the reporting individual to indicate that they are not free to proceed with, or continue to engage in, the activity or situation.

- a conflict and the activity or situation can be managed as an **allowed conflict**, a suitable method of monitoring and managing the allowed conflict will be determined and implemented before the reporting individual is free to proceed with, or continue to engage in, the activity or situation.

3. **Management of Allowed Conflict**

When an activity or situation can be managed as an allowed conflict, the reporting officer will:

a. Work with the reporting individual to settle on the terms and conditions under which an activity or situation associated with an allowed conflict will be conducted and managed;

b. Ensure documentation of any outcome in a memorandum of agreement in the specified form;

c. Ensure the term, conditions, and management of an activity associated with an allowed conflict is consistent with the *Freedom of Information and Protection of Privacy Act* and other legislation and University policy relevant to that activity;

d. Administer or delegate the on-going monitoring and management of allowed conflict;

e. Document all related matters and maintain records;

f. Refer unresolved matters to a conflict review officer appropriately; and

g. Keep senior officers of the University appropriately apprised.

In all instances of conflict involving research, the disclosure form should be submitted to the individual's reporting officer who will then consult with the Dean, Vice-President (Research) and Office of Faculty and Staff Relations as appropriate.

4. **Referral Process**

   a. In the case of conflict of commitment, it is expected that the reporting individual and the reporting officer will come to an agreement; however, in the event that this is not possible, the position of the reporting officer is final and will stand as the University's position on the matter.

   b. In the case of conflict of interest, the reporting individual and reporting officer need to first agree on whether the conflict considerations warrant an allowed conflict or not and, where applicable, on the method by which an allowed conflict is to be monitored and managed. If agreement cannot be reached, the matter is to be referred by the reporting officer to a conflict review officer or **conflict review committee**.

   c. The conflict review officer or conflict review committee will work with the reporting individual and reporting officer in an effort to reach an agreeable outcome and will ensure documentation of any outcome in a memorandum of agreement in the specified form. If an agreeable outcome cannot be reached, the conflict review officer or conflict review committee will render a decision which shall be final and binding.

5. **Conflict Review Committee Membership**

   a. For conflict involving research activity:

       i.   Chair, appointed by the Vice-President (Research);

       ii.   One representative of the Research Services Office;

       iii. One academic staff member, appointed by the Vice-President (Research); and

       iv.   Two members-at-large, appointed by the Provost and Vice-President (Academic).

       Within the overall membership, it is recommended that there be one member with legal expertise and one with previous conflict resolution experience.

   b. For conflict involving non-research activity:

       i.   Chair, appointed by the Provost and Vice-President (Academic);

       ii.   One staff member appointed by the Vice-Provost and Associate Vice-President (Human Resources); and

       iii. Two members-at-large, appointed by the Vice-Provost and Associate Vice-President (Human Resources).

       Within the overall membership, it is recommended that there be one member with legal expertise and one with previous conflict resolution experience.

Procedure - Receipt and Acceptance of Gifts and Event Invitations

For the purpose of this Procedure, Gifts and Events do not include:

- normal and nominal gifts and event invitations between friends, where unrelated to the Employee's duties or position with the University, or
- attendance at social events if the social event is sponsored by a charitable foundation, a not-for profit organization, a chamber of commerce, a board of trade, an economic development organization, the Governor General of Canada, a provincial Lieutenant Governor, any Canada federal, provincial, municipal or regional government or any member of any such government, or a consul or ambassador of a foreign country.

Any Employee who is uncertain if acceptance of a Gift or an Event Invitation is appropriate should contact their Dean, Vice-President, the Provost or the President.

If there is uncertainty as to the value of a Gift or an Event, the Vice-President (Finance & Administration) shall have the authority to determine its value.

1. Acceptance of Gifts
    a. Employees of the University of Alberta must not accept any Gift directly or indirectly connected with the performance of their University duties or by virtue of their position, if the acceptance of the Gift may create a conflict of interest or the perception of a conflict of interest other than a Gift which is:
        i. a token received as part of reasonable protocol,
        ii. a social obligation,
        iii. a cultural practice, or
        iv. as incident for participating in a public Event.
    b. All Employees must exercise reasonable discretion in determining whether the acceptance of any Gift is appropriate.
    c. The maximum cash value of any one Gift that an Employee of the University of Alberta may accept is $100.00, not exceeding $200.00 per calendar year received from a single source.
    d. If a Gift is also offered to a spouse, adult interdependent partner or minor child in their capacity as a spouse, adult interdependent partner or minor child of a University Employee, the same considerations apply as if the Gift was given to the Employee directly.
    e. Should any Gift be accepted which exceeds any maximum valuation set out in this Procedure, the Gift shall become the property of the University of Alberta.
    f. An Employee may seek an exemption from their Dean, Vice-President, the Provost or the President.

2. Acceptance of Invitations and Attending Events
    a. Employees of the University of Alberta must not accept any invitation to an Event, or attend any Event, if the acceptance or attendance may create a conflict of interest or the perception of a conflict of interest, other than:
        i. an Event where a significant cross-section of Employees has been invited;
        ii. an Event where the Employee pays for their own food, beverages, and all other expenses;
        iii. an Event attended as an incident of the social obligations that normally accompany the Employee's position at the University.

b. All Employees must exercise reasonable discretion in determining whether the acceptance of any invitation to or attendance at any Event is appropriate.

c. The maximum cash value of attending an Event that an Employee has been invited to, inclusive of any food and beverage, is $400.00 per event, not exceeding $800.00 per calendar year received from a single source.

d. The cash value limitations do not apply to reasonable hospitality and travel arrangements provided by a person or organization hosting an Event at which the individual is playing an active role (e.g. presenter, panelist, etc) and is attending as a University Employee.

e. If the invitation to attend an Event is also extended to a spouse, adult interdependent partner or minor child, the total cash value of all tickets received are to be taken into account.

f. If an Employee is invited to an Event at which the maximum cash value of attendance, inclusive of any food and beverage, exceeds any stipulated maximum cash value, the Employee may seek an exemption from their Dean, Vice-President, the Provost or the President.

g. Should an Employee attend an Event that exceeds any maximum valuation set out in this Code and there is no exemption approved, the cash value of attending the Event, inclusive of any food and beverage, which exceeds the maximum valuation under this Code, will be reimbursed by the Employee to the person/entity who originally covered the cost.

F. Managing Conflicts of Interest with Supplementary Professional Activities

Collective Agreements with SPA Obligations

In addition to the obligations and expectations of all Representatives of the University of Alberta, the university's collective agreements provide direction for certain Representatives with respect to professional development through activity which is supplementary to their primary obligations to the university. Where Representatives are engaging in Supplementary Professional Activity ("SPA") pursuant to the terms of their collective agreement, they will not be considered to be in a conflict for the purposes of this Code.

The types of Representatives with SPA obligations, and the nature of those obligations, are excerpted directly from the relevant collective agreements below. Collective agreements are posted on the Human Resource Services website at http://hrs.ualberta.ca.

1. Faculty - Supplementary Professional Activities (SPA)

Collective agreement: Board of Governors of the University of Alberta and The Association of the Academic Staff of the University of Alberta – July 2017

Full collective agreement URL:
http://www.hrs.ualberta.ca/MyEmployment/~/media/hrs/MyEmployment/Agreements/Academic/Faculty.pdf

Relevant Excerpts
Article 8: Supplementary Professional Activities (SPA)

Scope and context of SPA

8.01   A staff member is a full-time employee and has a primary obligation to fulfil University responsibilities. The staff member shall remain current with recent developments in the discipline through personal professional development.

8.02   One means of accomplishing professional development may be through professional activity which is supplementary to the primary obligations to the University.

8.03   Such SPA shall represent an integral part of the responsibility to relate theory to practice, thereby enabling teaching and research to remain professionally relevant. Routine, repetitive and trivial SPA are discouraged.

Authorization of SPA

8.04   Subject to the provisions of this Article, a staff member may engage in SPA. SPA shall not prevent, hinder or unduly interfere with the staff member's primary responsibilities.

Required SPA

[...]

8.06   Where a Faculty Council has deemed SPA to be essential to the work of the Department, the Faculty Council shall recommend to the Board that such SPA be considered as part of the primary University responsibilities. The Board may approve such recommendations on such conditions as it deems appropriate, having regard to 8.11.

Definition of SPA

8.07   Without restricting the generality of the term SPA, this category shall include any of the following:

    a) employment in any capacity by another employer including the carrying out of teaching duties, e.g. summer session at another university;
    b) consulting;
    c) personal services contracts;
    d) private practice of the staff member's profession, e.g. medicine, dentistry, law, etc.

8.08   SPA may be categorized as major or minor in scope. Each Faculty Council shall decide what constitutes major SPA but all proposals to teach at another institution shall be considered major SPA.

Approval of SPA

8.09   A staff member shall obtain written approval of the Department Chair prior to undertaking major SPA. Prior to approving SPA, the Department Chair shall ensure that primary University responsibilities will be performed satisfactorily.

8.10   If there is a dispute with respect to a staff members SPA, the staff member shall have recourse to the Dean and the Provost, in that order. The decision of the Provost shall be final and binding.

Conditions

8.11   The authority and approval of SPA is subject to the following conditions:

    a) The staff member shall not compete unfairly with professionals outside the University.
    b) The SPA shall not infringe upon the University's conflict of interest guidelines.
    c) The SPA shall conform with regulations governing the use of University facilities and staff.
    d) The staff member shall indemnify and hold harmless the University from and against any loss, injury or damage which the University may or could suffer arising in any way out of or in

relation to such activities. The staff member gives this covenant and makes this agreement notwithstanding that the University has participated in such activities by the provision of facilities, space, equipment, or administrative assistance, unless the said loss, injury or damage arises directly from a malfunction of the said facilities or equipment which is not caused by the user thereof; and notwithstanding that the University has participated in such SPA by the provision of students or postdoctoral fellows or the like; and withstanding that any formal contract with respect to those SPA has not been negotiated by or approved by the University.

e) When engaged in SPA a staff member shall not use the name of the University in any way, except as the mailing address, nor shall the staff member hold himself or herself to be an agent of the University when engaged in SPA.

[...]

Faculty regulations

8.20 Each Faculty Council shall develop regulations with respect to SPA. The regulations and any amendments thereto shall be filed with the Provost and the Association. The regulations shall include:

a) The definition of what constitutes major SPA.
b) The format for the annual statement of SPA; the determination of the time period covered by the report; the date by which the report is to be submitted; and whether the annual statement about SPA shall be included in the annual report.
c) Any modifications to the requirement that SPA be taken into account in the evaluation of a staff member's performance.
d) Whether the time of year, week or day when SPA is performed is important to its approval and reporting.
e) Whether the annual statement shall include information about remuneration received from SPA.
f) Regulations governing the use of University facilities and staff for SPA including arrangements to reimburse the University for such use.
g) What evidence shall be required to ensure the staff member has adequate personal liability insurance to indemnify the University against any claims.
h) Such additional terms and conditions the Faculty Council may consider necessary; such terms and conditions shall be in addition to and not in contradiction to this Article.

Relevant Definitions (Article 1)

Staff Member: A person who has been appointed under this agreement to a faculty position on the academic staff of the University in which the person has been or may be granted tenure; this term includes both full time and part time staff who hold such positions.

Faculty Council: The council created by that name in accordance with section 28 of the Post Secondary Learning Act; for the purposes of this Agreement voting on decisions required by this Agreement shall be restricted to the staff members in the Faculty.

Department: The academic unit of a Faculty, established as such by the Board.

Dean: The chief executive officer of a Faculty.

Department Chair: The chief executive officer of a Department. Responsibilities assigned herein to a Department Chair shall be the responsibility of the Dean in Faculties in which there are no departments.

Board: The Governors of the University of Alberta.

2. Faculty Service Officer Supplementary Professional Activities (SPA)

Collective agreement: Board of Governors of the University of Alberta and The Association of the Academic Staff of the University of Alberta – Faculty Service Officer Agreement – July 2017

Full collective agreement URL:
http://www.hrs.ualberta.ca/MyEmployment/~/media/hrs/MyEmployment/Agreements/Academic/FSO.pdf

Relevant Excerpts
Article 8: Supplementary Professional Activities (SPA)

8.01   A staff member is a full-time employee and has a primary obligation to fulfil University responsibilities. The staff member shall remain current with recent developments in the discipline through personal professional development.

8.02   Under certain circumstances it is appropriate for staff members to assume responsibilities at the University in addition to their regular duties and for which they may receive additional remuneration. These shall be duties which are performed outside regular office hours or while on vacation, e.g. lecturing in evening session, lecturing in Extension non-credit courses, etc. Requests to assume additional responsibilities shall be submitted, in writing, to the **Dean**.

8.03   A staff member who proposes to engage in activities outside the University which are related to his or her duties at the University or which are of a consulting nature, whether during regular University office hours or not, shall so inform his or her immediate supervisor. If the proposed activities are during regular office hours, the permission of the immediate supervisor, in writing, must be obtained prior to the staff member undertaking the activities. If University facilities are proposed to be used in the conduct of the outside activities, the permission of the immediate supervisor, in writing, must be obtained prior to the staff member utilizing such facilities. If the staff member expects to make extensive use of such facilities, the staff member may be required to reimburse the University for such use.

8.04   Care must be taken by the staff member that the outside activities are not in conflict of interest with the University duties.

[…]

9.17   During leave, the staff member shall not undertake alternative employment without the advance written approval of the Provost.

Relevant Definitions (Article 1)

Faculty Service Officer: Group of academic staff who assist and collaborate with faculty members in teaching and research process. Such staff members will normally have a post-graduate degree in the particular discipline to which they are attached. The tasks they are assigned may include an administrative component but this will not be a major component of the assignment. A position in this category shall be established under the same procedures as those used for faculty positions and staff members shall be counted with faculty in the staff count.

Staff Member: A person who has been appointed to a faculty service officer position on the academic staff of the University in which the person has been or may be granted a continuing appointment; this term includes both full time and part time staff who hold such positions.

Dean: The chief executive officer of a Faculty.

3. *Library - Supplementary Professional Activities (SPA)*

Collective agreement: Board of Governors of the University of Alberta and The Association of the Academic Staff of the University of Alberta – Librarian Agreement – July 2017

Full collective agreement URL:
http://www.hrs.ualberta.ca/MyEmployment/~/media/hrs/MyEmployment/Agreements/Academic/Librarian.pdf

Relevant Excerpts

Article 8: Supplementary Professional Activities

Scope, context and authorization of supplementary professional activity

8.01   A staff member has a primary obligation to fulfil University responsibilities. A staff member who proposes to engage in activities outside the University which are related to his or her duties at the University or which are of a consulting nature, shall so inform the Chief Librarian. If the proposed activities are during regular office hours, the permission of the Supervisor and Chief Librarian, in writing, must be obtained prior to the staff member undertaking the activities. If University facilities are proposed to be used in the conduct of the outside activities, the permission of the Chief Librarian, in writing, must be obtained prior to the staff member utilizing such facilities. If the staff member expects to make extensive use of such facilities, the staff member may be required to reimburse the University for such use.

8.02   Under certain circumstances it is appropriate for staff members to assume responsibilities at the University in addition to their regular duties and for which they may receive additional remuneration. Requests to assume such additional responsibilities must be approved by the Supervisor and the Chief Librarian, in writing.

8.03   Such professional activity shall represent an integral part of the responsibility to relate theory to professional practice, thereby enabling professional practice to remain relevant.

8.04   Care must be taken by the staff member that the supplementary activities are not a conflict of interest with the University duties and do not prevent, hinder or unduly interfere with the staff member's primary responsibilities.

8.05   If there is a dispute with respect to a staff member's supplementary professional activity, the staff member shall have recourse to the Chief Librarian and the Provost, in that order. The decision of the Provost shall be final and binding.

Definition of supplementary professional activity

8.06   Without restricting the generality of the term supplementary professional activities, this category shall include any of the following:
   a) employment in any capacity by another employer; including the carrying out of teaching duties;
   b) consulting;
   c) personal services contracts.

Conditions

8.07   The authority and approval of supplementary professional activity is subject to the following conditions:

    a)   The staff member shall not compete unfairly with professionals outside the University.

    b)   The supplementary professional activity shall not infringe upon the University's conflict of interest guidelines. (GFC Policy Manual Section 120.3)

    c)   The supplementary professional activity shall conform with regulations governing the use of University facilities and staff. (Research Policies and Services Manual)

    d)   The staff member shall indemnify and hold harmless the University from and against any loss, injury or damage which the University may or could suffer arising in any way out of or in relation to such activities. The staff member gives this covenant and makes this agreement notwithstanding that the University has participated in such activities by the provision of facilities, space, equipment, or administrative assistance, unless the said loss, injury or damage arises directly from a malfunction of the said facilities or equipment which is not caused by the user thereof; and notwithstanding that the University has participated in such supplementary professional activity by the provision of students or postdoctoral fellows or the like; and notwithstanding that any formal contract with respect to those supplementary professional activity has not been negotiated by or approved by the University.

    e)   When engaged in supplementary professional activity, a staff member shall not use the name of the University in any way, except as the mailing address, nor shall the staff member hold himself or herself to be an agent of the University when engaged in supplementary professional activity.

Relevant Definitions (Article 1)

Staff Member: A person who has a degree from an accredited graduate program in library and/or information studies, or an equivalent program, who has been appointed to a librarian position on the academic staff of the University of Alberta, in which the person has been or may be granted tenure; this term includes both full time and part time staff who hold such positions.

Chief Librarian: The chief executive officer of the University Libraries.

Supervisor: The Administrative Librarian to whom the staff member reports and is accountable, or the Chief Librarian, or another staff member who is delegated that responsibility on behalf of the Administrative Librarian. At least annually, the Chief Librarian shall provide to the Association a complete list of staff members and the Supervisor to whom each reports. When a staff member reports to more than one person, the Supervisor shall consult with the other person in making evaluations.

Provost: The Provost and Vice President (Academic) of the University.

4.   *Academic Teaching Staff – Supplementary Professional Activities (SPA)*

Collective agreement: Board of Governors of the University of Alberta and The Association of the Academic Staff of the University of Alberta – Academic Teaching Staff Agreement – July 2017

Full collective agreement URL:
http://www.hrs.ualberta.ca/MyEmployment/~/media/hrs/MyEmployment/Agreements/Academic/ATS.pdf

Relevant Excerpts
Article 8: Supplementary Professional Activities (SPA)

8.1   This Article shall apply to full-time staff members with Career Status and Term 12 Status appointments.

Scope and Context of SPA

8.2   A staff member who is a full-time employee has a primary obligation to fulfill University responsibilities. The staff member shall remain current with recent developments in the discipline through personal professional development.

8.3   One means of accomplishing professional development may be through professional activity which is supplementary to the primary obligations to the University.

8.4   Subject to the provisions of this Article, a staff member may engage in SPA. SPA shall not prevent, hinder or unduly interfere with the staff member's primary responsibilities.

Definition of SPA

8.5   Without restricting the generality of the term SPA, this category shall include any of the following:
        a) employment in any capacity by another employer including the carrying out of teaching duties, e.g., summer session at another university;
        b) consulting;
        c) personal services contract; or
        d) private practice of the staff member's profession, e.g., dentistry, law, medicine, nursing, etc.

Approval of SPA

8.6   A staff member shall obtain written approval of the Department Chair prior to undertaking major SPA. Prior to approving SPA, the Department Chair shall ensure that primary University responsibilities will be performed satisfactorily.

8.7   If there is a dispute with respect to a staff member's SPA, the staff member shall have recourse to the Dean and the Provost, in that order. The decision of the Provost shall be final and binding.

8.8   The conditions governing SPA are set out in Appendix D.

[…]

APPENDIX D: Conditions for Supplementary Professional Activities (SPA)

1.   The authority and approval of SPA is subject to the following conditions:
        a) The staff member shall not compete unfairly with professionals outside the University.
        b) The SPA shall not infringe upon the University's conflict policy and related procedures and protocols, as amended from time to time.
        c) The SPA shall conform with the University's related policies, procedures and protocols related to the use of University facilities and staff, as amended from time to time.
        d) The staff member shall indemnify and hold harmless the University from and against any loss, injury or damage which the University may or could suffer arising in any way out of or in relation to such activities. The staff member gives this covenant and makes this agreement notwithstanding that the University has participated in such activities by the provision of facilities, space, equipment, or administrative assistance, unless the said loss, injury or damage arises directly from a malfunction of the said facilities or equipment which is not caused by the user thereof; and notwithstanding that the University has participated in such SPA by the provision of students or postdoctoral fellows or the like; and notwithstanding that any formal contract with respect to those SPA has not been negotiated by or approved by the University.
        e) When engaged in SPA a staff member shall not use the name of the University in any way, except as the mailing address, nor shall the staff member hold himself or herself to be an agent of the University when engaged in SPA.

4.   SPA shall represent an integral part of the responsibility to relate theory to practice, thereby enabling teaching and/or teaching-related responsibilities to remain professionally relevant. Routine, repetitive and trivial SPA is discouraged.

Required SPA

6.   Where a Faculty Council has deemed SPA to be essential to the work of the Department, the Faculty Council shall recommend to the Board that such SPA be considered as part of the primary University responsibilities. The Board may approve such recommendations on such conditions as it deems appropriate, having regard to 1.a.

Major SPA

7.   SPA may be categorized as major or minor in scope. Each Faculty Council shall decide what constitutes major SPA but all proposals to teach at another institution shall be considered major SPA.

Faculty Regulations

13.   Each Faculty Council shall develop regulations with respect to SPA. The regulations and any amendments thereto shall be filed with the Provost and the Association. The regulations shall include:
   a)   The definition of what constitutes major SPA.
   b)   The format for the annual statement of SPA; the determination of the time period covered by the report; the date by which the report is to be submitted and whether the annual statement about SPA shall be included in the annual report.
   c)   Any modifications to the requirement that SPA be taken into account in the evaluation of a staff member's performance.
   d)   Whether the time of year, week or day when SPA is performed is important to its approval and reporting.
   e)   Whether the annual statement shall include information about remuneration received from SPA.
   f)   Regulations governing the use of University facilities and staff for SPA including arrangements to reimburse the University for such use.
   g)   What evidence shall be required to ensure the staff member has adequate personal liability insurance to indemnify the University against any claims.
   h)   Such additional terms and conditions the Faculty Council may consider necessary; such terms and conditions shall be in addition to and not in contradiction to this Appendix

Relevant Definitions (Article 1)

Staff Member: A person who has been appointed under this Agreement to a position with teaching and/or teaching-related responsibilities (in accordance with Article 7) on the academic staff of the University (where teaching shall involve University credit courses) and where the funding source permits payment of such responsibilities

Department Chair: The administrative head of a Department reporting to the Dean. Responsibilities assigned in this Agreement to a Department Chair shall be the responsibility of the Dean in Faculties in which there are no Departments.

Dean: A University employee who "has general supervision over and direction of the academic work and instructional staff of the Faculty and of the officers and employees employed in connection with that work, and has the other powers, duties and functions that are assigned to the dean by the president" pursuant to Section 21(2) of the Post-Secondary Learning Act (Alberta).

Provost: The Provost and Vice President (Academic) of the University. The Provost is the Chief Operating Officer and Senior Vice President.

Faculty Council: The council created by that name pursuant to Section 28(2) of the Post-Secondary Learning Act (Alberta); for the purposes of this Agreement voting on decisions required by this Agreement shall be restricted to the academic staff members in the Faculty.

5. Temporary Administrative and Professional Staff (TAPS) – Supplementary Professional Activities (SPA)

Collective agreement: Board of Governors of the University of Alberta and The Association of the Academic Staff of the University of Alberta – Temporary Administrative and Professional Staff Agreement – July 2017

Full collective agreement URL:
http://www.hrs.ualberta.ca/MyEmployment/~/media/hrs/MyEmployment/Agreements/Academic/TAPS.pdf

Relevant Excerpts

Article 9: Supplementary Professional Activities (SPA)

All Staff Members

9.01   This Article shall apply to all full-time staff members.

Scope and Context of SPA

9.02   A staff member who is a full-time employee has a primary obligation to fulfil University responsibilities. The staff member shall remain current with recent developments in the discipline through personal professional development.

9.03   One means of accomplishing professional development may be through professional activity which is supplementary to the primary obligations to the University.

9.04   Subject to the provisions of this Article, a staff member may engage in SPA. SPA shall not prevent, hinder or unduly interfere with the staff member's primary responsibilities.

Definition of SPA

9.05   Without restricting the generality of the term SPA, this category shall include any of the following:
   a) employment in any capacity by another employer including the carrying out of teaching duties, e.g., summer session at another university;
   b) consulting;
   c) personal services contract;
   d) private practice of the staff member's profession, e.g., medicine, nursing, law, etc.

Approval of SPA

9.06   A staff member shall obtain written approval of the Supervisor prior to undertaking major SPA. Prior to approving SPA, the Supervisor shall ensure that primary University responsibilities will be performed satisfactorily.

9.07   If there is a dispute with respect to a staff member's SPA, the staff member shall have recourse to the Dean and the Vice-President, in that order. The decision of the Vice-President shall be final and binding.

9.08   The conditions governing SPA are set out in Appendix D.

[…]

Appendix D: Conditions for Supplementary Professional Activities (SPA)

1.   **SPA at the University**

    1.1   Under certain circumstances, a staff member may accept responsibilities at the University in addition to regular responsibilities for which the staff member may receive remuneration additional to regular salary.

    1.2   The Supervisor and the Vice-President shall approve requests for approval of such SPA prior to the assumption of the responsibilities.

    1.3   SPA shall be performed outside regular office hours unless otherwise approved by the Vice-President.

2.   SPA Outside the University

    2.1   A staff member who proposed to engage SPA for another employer or as a consultant or self employed professional shall inform the Supervisor in writing of such intention.

    2.2   The written permission of the Supervisor is required if
        a)   the activities will take place during regular University office hours; or
        b)   the activities involve University staff, students or the use of University facilities.

Relevant Definitions (Article 1)

Staff Member: A person who has been appointed to a position on the academic staff of the University for a fixed term. This term includes all the categories enumerated in Article 6.03.

Supervisor: The person to whom a staff member reports

6. Administrative and Professional Officers – Supplementary Professional Activity

Collective agreement: Board of Governors of the University of Alberta and The Association of the Academic Staff of the University of Alberta – Administrative and Professional Officer Agreement – July 2017

Full collective agreement URL:
http://www.hrs.ualberta.ca/MyEmployment/~/media/hrs/MyEmployment/Agreements/Academic/APO.pdf

Relevant Excerpts
Supplementary Professional Activity Outside the University

8.09   A staff member who proposes to engage in supplementary professional activity for another employer or as a consultant or self-employed professional shall inform the Supervisor in writing of such intention.

8.10   The written permission of the Supervisor is required if:
        a)   the activities will take place during regular University office hours; or

b) the activities involve University staff, students or the use of University facilities.

8.11 If the staff member expects to involve students, staff or the use of University facilities, the staff member may be required by the Vice-President to enter into a contract with the University.

8.12 A staff member shall not engage in supplementary professional activities which involve a conflict of interest or conflict of commitment with responsibilities to the University.

<u>Relevant Definitions (Article 1)</u>

Staff Member and APO: "Staff member" and "APO" means an Administrative Professional Officer (APO) who has been designated as continuing academic staff by the University of Alberta. An APO is a manager or other professional who provides leadership, strategic advice and direction in the organization; and is accountable for planning, negotiating, problem solving, risk assessment and prevention, and/or operational oversight of resources. An APO shall normally require an academic degree; professional designation or equivalent related experience.

Vice-President: A senior administrator with a number of reporting units within the University. Where the term "Vice-President" is used in the Agreement, unless otherwise stated, it means the specific Vice-President to whom the other administrative officials named are accountable unless otherwise specified.

G. Notice Period & Amendments

1. This Code will be submitted to the Ethics Commissioner for review pursuant to section 23.922 of the *Conflicts of Interest Act*.

2. Providing approval has been received from the Ethics Commissioner in accordance with the *Conflicts of Interest Act*, this Code will be made public on or before April 30, 2019.

3. The period from the date the Code is made public, until June 30, 2019 will be the public notice period.

4. This Code will be implemented on July 1, 2019.

5. The University reserves the right to amend this Code at any time, including but not limited to:

   a. on the advice or demand of the Office of the Ethics Commissioner of Alberta; or

   b. where required to ensure compliance with any changes to the *Conflicts of Interest Act,* the *Post-Secondary Learning Act*, or any other applicable legislation or order-in council; or

   c. where changes are made to University of Alberta policies and procedures through the appropriate internal approval processes and/or to collective agreements through normal negotiation processes.

6. Any amendment or replacement of this Code will be submitted to the Ethics Commissioner for approval in a manner pursuant to section 23.923(2) of the *Conflicts of Interest Act* and any other applicable legislation.

H. Administrative

1. In the case of an inconsistency between the language in this Code and the relevant University policy, procedure or collective agreement, the language in the policy, procedure or collective agreement will govern.

Code of Conduct:

Employees' Obligations Respecting

Conflict of Interest

Annotated Version with Source Language References

DRAFT

April 17, 2018

Table of Contents

A. Preamble

The highest standards of ethical conduct are essential to the success of any great institution. Academic freedom, open inquiry and the pursuit of truth, which form the foundation of an institution of higher learning, depend on a shared commitment to the highest standards of ethical conduct.

The substantive language in this Code has been copied verbatim from existing University policies, procedures and collective agreements.[WP1]

B. Application of this Code

This *Code of Conduct: Employees' Obligations Respecting Conflicts of Interest* (the "Code") applies in respect of all Representatives of the University, including the President of the University when acting as an Employee, but does not include:

- Members of the Board of Governors or the President of the University when acting as a Board Member, who are governed by the separate *Code of Conduct: Board of Governors;*

- Non-employees, including professors emeriti, visiting academics, volunteers, contractors, or others acting on behalf of the University. The obligations and standards of conduct owed by these persons are contained in the individual policies and procedures provided by the University.

Together, the *Code of Conduct: Employees' Obligations Respecting Conflicts of Interest* and the *Code of Conduct: President and Board Members' Obligations Respecting Conflicts of Interest* work together to exemplify the University's ethical standards, provide individuals with principles to guide their behaviour, and emphasize the importance the University places on the avoidance of real or apparent conflicts of interest.

Non-compliance with this Code by a Representative of the University of Alberta constitutes misconduct and may result in disciplinary action, up to and including termination of employment. Discipline for non-compliance may be pursued under the applicable collective agreement, University policies and procedures, the Handbook of Terms and Conditions for Management and Professional Staff (Excluded), or law.

C. Global Definitions

The following definitions apply to all sections of this Code, excepting where a definition is specifically provided as otherwise in a section of this Code, within a collective agreement, or in the Handbook of Terms and Conditions of Employment for Management and Professional Staff (Excluded):

Allowed Conflict: Conflict that can be managed in a way that is compliant with legislation, considers, protects and serves the interests, integrity and reputation of the University, and will withstand the test of reasonable and independent scrutiny.[WP2]

Board of Governors: The Governors of the University of Alberta as defined in the *Post Secondary Learning Act* P-19.5 2003.

Conflict(s): Conflict of interest, conflict of commitment, or institutional conflict.

Conflict of Commitment: A situation whereby the external or personal activities, undertakings or relationships of a person are so demanding or organized in such a manner or are otherwise such that they may interfere with the person's obligations to the University or to others or institutions that are separate from the University but to whom the person owes an obligation because of their relationship to the University.

Conflict of Interest: A situation in which there is or may be perceived to be a divergence between the private financial benefit or financial interest or personal benefit of a person, **family member**, or an **outside party**, and that person's obligations to the University, such that an impartial observer might reasonably question whether related actions to be taken or decisions made by the person would be influenced by consideration of the person's own interests. [WP3]

Conflict Review Officer: According to those relationships detailed in the disclosure report, the next appropriate senior reporting officer.

Disclosure Report: A report that discloses conflict-type specific considerations relevant to deciding whether a person wishing to proceed with an activity that would or may give rise to conflict should be allowed to undertake that activity. [WP4]

Family Member: Includes a person's spouse or adult interdependent partner or another individual to whom the person is related by blood, marriage or adoption.

Financial Benefit: The receipt or expectation of anything of monetary value, including pay or salary or other payments for services (e.g. consulting fees or honoraria), equity (shares, options or the like) security or other ownership interests, and intellectual property rights (e.g. patents, copyrights, royalties or carried interests or options related to such rights)

Financial Interest:
(A) Ownership in the form of shares in a privately held company or

(B) ownership in a publicly traded company in the form of shares with a market value of greater than $50,000.00 or representing more than 10% of the company's outstanding shares or

(C) where the person is a member of a board of either a privately held or publicly traded company. [WP5]

Good Faith (or "Good Faith Disclosure"): A submission of information, that is based on reasonable belief and is not malicious, frivolous or vexatious, to the appropriate University authority. [WP6]

Institutional Conflict: A situation in which the University, or an institution, has an existing relationship with a party with which the University or the institution proposes to enter into an activity such that an impartial observer might reasonably question whether the existing relationship might prejudice decisions of the University or an institution with respect to the activity.[WP7]

Office of Administrative Responsibility: The area within University administration, that is ultimately responsible for administering a particular policy and/or procedure. [WP8]

Outside Party: Includes any corporation, partnership, sole proprietorship or other legal entity organized for the furtherance of a non-University interest (for profit or otherwise) and clients or patients to whom the person or the University provides individual professional services

Personal Benefit: The receipt or expectation of any personal (workplace or otherwise) benefit of a non-monetary value.

Reporting Individual: A person required to report in accordance with this Code.

Reporting Officer: For any person, the holder of the office to whom the person reports or who has supervisory responsibility over the reporting individual. Specifically, for example:
- for a Vice-President, the President.
- for a Deputy Provost or a Vice-Provost, the Provost and Vice-President (Academic).
- for an Assistant or Associate Vice-President, the appropriate Vice President
- for a Dean of a Faculty and the Chief Librarian, the Provost and Vice-President (Academic).
- for an Associate Dean or Vice-Dean, the Dean.
- for a Chair of a Department, the Dean.
- for the Director of an administrative unit or equivalent, the Vice-President responsible for that unit.
- for support staff, the holder of the office to whom the support staff reports or who has supervisory responsibility over the support staff; however, the reporting officer for a support staff will not be another support staff.
- for academic staff of a Faculty with departments, the Chair.
- for academic staff of a Faculty without departments, the Dean.
- for a post-doctoral fellow, the supervisor of the post-doctoral fellow.
- for a graduate student, the student's supervisor or supervisory committee.
- for a staff member of a centre or institute, the person within the University responsible for that centre or institute[WP9]

Representative of the University of Alberta (or "Representative"): Executive officers, faculty, staff, post-doctoral fellows, and student employees.

Reprisal: Punitive actions taken against a person for making a good faith disclosure, including, but not limited to:
- Disciplinary action
- Termination
- Adversely affecting employment conditions
- A threat to do any of the above [WP10]

Respondent: A party against whom an allegation has been made.[WP11]

Safe Disclosure: Individuals are not subject to reprisal for reporting allegations made in good faith.[WP12]

D. Ethical Conduct

Overview

The highest standards of ethical conduct are essential to the success of any great institution. Academic freedom, open inquiry and the pursuit of truth, which form the foundation of an institution of higher learning, depend on a shared commitment to the highest standards of ethical conduct.

Whether involved in research, teaching or the governance and administration of the organization, all Representatives of the University of Alberta have an obligation to conduct themselves in a manner that is consistent with the University's stated values regarding ethical conduct.

As part of this obligation, and to protect the University and individuals from harm, Representatives of the University are encouraged to report conduct that does not meet the University's ethical standards.

Purpose

- Describe the expectations concerning ethical conduct for Representatives of the University

- Confirm the rights of individuals in reporting conduct that does not meet the University's standards
- Confirm the University's obligation to protect person(s) making a **good faith disclosure** from **reprisal**
- Confirm the University's obligation to protect the rights of the person(s) against whom allegations are made[WP13]
- To outline the procedures individuals should take when reporting conduct that does not meet the University's ethical standards[WP14]

Policy

1. <u>Standards of Ethical Conduct</u>

All Representatives of the University of Alberta shall maintain the highest standards of ethical conduct, in which their actions and behaviours uphold the principles of integrity, respect and accountability, supported by awareness of and compliance with relevant University policies and procedures, collective agreements, government legislation and relevant professional standards.

2. <u>Failure to Comply</u>

Failure to comply with this policy may result in disciplinary action, up to and including termination of employment and prosecution if appropriate.

3. <u>Reporting</u>

Representatives of the University are encouraged to report conduct that does not meet the University's ethical standards. Such reports must meet the definition of good faith disclosure and be submitted to the appropriate authority.

The University will maintain an environment of **safe disclosure** when such a report is made, in which:

a. The persons and offices that receive and/or investigate such reports shall protect the identity of the person making the report to the extent possible under government legislation, University policies, and collective agreements in effect at the time of the alleged misconduct.

b. The University will not tolerate any reprisal, directly or indirectly, against anyone who, in good faith, makes a report.

c. All individuals against whom allegations are made will maintain the rights, privileges and protections afforded to them through the *Freedom of Information and Protection of Privacy (FOIPP) Act* and other applicable government legislation, University policies, and collective agreements in effect at the time of the alleged misconduct.[WP15]

Procedure

4. <u>Disclosure of Misconduct</u>

University process indicates that allegations or concerns of conduct that does not meet the University's ethical standards are primarily addressed utilizing the procedures associated with relevant University policies and procedures, collective agreements, government legislation and relevant professional standards.

Complainants should generally contact their manager or supervisor to disclose matters of alleged misconduct. Alternately, complainants may also contact the **Office of Administrative Responsibility** associated with the relevant policy and/or procedure.

In instances where it is unknown where to disclose the matter, or the complainant has reasonable apprehension about coming forward, reports can be made to the Office of Safe Disclosure and Human Rights (OSDHR).

Initial disclosures to the OSDHR may be made verbally or in writing. OSDHR may request that disclosures be made in writing dependent on the nature of the concern and the requirements of the underlying policies. Be advised that disclosures made to OSDHR do not necessarily constitute institutional knowledge as this office's main goal is to provide advisory and referral services to the appropriate mechanism.

Typically, in order for matters to be formally addressed, they will need to be reported to a **Representative of the University of Alberta** outside the OSDHR.

In general, disclosures should comprise of:
- The date and time of the incident(s);
- Identification of individuals responsible for the misconduct;
- Details of the alleged misconduct; and
- Name and contact information of the individual making the disclosure. Anonymous reporting may be permitted if it is permitted in the underlying processes (e.g. anonymous reporting is considered for fraud and irregularity but not for harassment).

5. **Good Faith Disclosures and Reprisal**

Any person making a good faith disclosure shall not be subject to reprisal.
Any person who believes they are subject to reprisal should contact the OSDHR.

6. **Duty of Respondents**

Those persons against whom allegations are made (**respondents**) must be treated in a fair and reasonable manner. Specifically, should formal complaints be made, respondents are entitled to:
- Be informed as to who has made the allegation against them, except for matters where the relevant policy and procedure specifically allow for anonymous or confidential complaints or the safety of the complainant may be in question;
- Only respond to allegations that have been made in a timely manner (as outlined in relevant policy if applicable);
- Be privy to enough details pertaining to the allegation to respond accurately; and/or
- Have the matter resolved in an expedient manner.

Respondents who feel that this duty is not being met, should contact the OSDHR.[WP16]

E. Avoidance of Conflicts of Interest

Overview

The University is committed to academic freedom and excellence in teaching and research. In pursuit of this mission, the University and members of the University community frequently engage in activities or situations where actual or perceived **conflicts** will exist, or which raises the potential of actual or perceived conflicts. Rather than disallow all conflicts, the University assesses conflict considerations and, when appropriate, permits certain managed conflict.

However, conflict is permitted only if it can be managed in a way that:

a. Is compliant with legislation;
b. Considers, protects and serves the interests, integrity and reputation of the University; and,
c. Withstands the test of reasonable and independent scrutiny.

To maintain public trust and confidence, the University manages conflict in a fair, open, consistent, and practical manner. All members of the University share in the responsibility to appropriately address conflict.

Assessing conflict requires the collection of personal information as defined in the *Freedom of Information and Protection of Privacy Act*. The University will conduct this and other conflict-related activities with the utmost discretion and in compliance with legislation.[WP17]

Definitions

For the purposes of this Section 'E' only, the following definitions apply:

Academic Staff: An employee of the Board of Governors who, as a member of a category of employees or individually, has been designated as an academic staff member by the Board of Governors.[WP18]

Conflict Review Committee: A committee established in accordance with this section.[WP19]

Employee: all University of Alberta employees, including but not limited to faculty, staff, post-doctoral fellows, and student employees.

Event: means a social, cultural, or sporting activity, charity or special functions, presentations, awards ceremonies, fundraisers, conferences and meetings hosted by a third party. It includes lunches, dinner, drinks, or other meals taken together.

Gift: means a gift, bonus, reward, donation, favour, currency of any kind or gift card, given to an individual whether by request or not. It does not include awards received.

Institution: The University or any corporation, partnership, or other legal entity owned, controlled or subject to the direction of the University.

Other Staff: Those individuals employed by the University on a part or full-time basis, who are not academic staff or support staff, and whether or not they are part of a bargaining unit.

Person: Includes academic staff, support staff, other staff, postdoctoral fellows and a person's corporation.

Person's Corporation: Any professional corporation or corporation beneficially owned or controlled by a person.

Students: Includes undergraduate and graduate students.

Support Staff: An employee of the University who is a member of, and pays dues to, the Non-Academic Staff Association (NASA).[WP20]

Policy

The University will be vigilant and pro-active concerning conflict.

A person engaging in an activity or a situation that involves either existing (actual or perceived) or potential (actual or perceived) conflict shall report the conflict so that it may be assessed and, where appropriate, managed in accordance with the associated procedures. A person shall not engage in, or continue, the activity or situation until the University has assessed whether the conflict is permitted and, if so, how the conflict will be managed.

The University determines whether or not a situation or activity involves conflict. Therefore, all existing or potential conflict must be reported.

Purpose

- To reduce the incidence of conflict or potential conflict (**conflict of interest** or **conflict of commitment** or **institutional conflict**) and appropriately manage any permitted conduct.[WP21]

- To clarify reporting requirements for existing or potential conflict, whether it is actual or perceived, and to outline the process for assessing conflict in order to make informed and sound decisions pertaining to matters o**f** conflict of commitment or conflict of interest.[WP22]

Procedure - Disclosure and Assessment of Conflicts of Interest

1. **Reporting by a Person**

   a. A person engaging in an activity or situation that involves either existing or potential conflict shall report the conflict so that it may be assessed and, where appropriate, managed.

   b. A person shall not engage in, or continue, the activity or situation until the University has assessed whether the conflict is permitted and, if so, how the conflict will be managed.

   c. In accordance with this procedure, a person will self-assess and report activities or situations that may involve actual or perceived conflict and will complete a **disclosure report** and submit it to a **reporting officer**.

   d. The following persons are required to complete a disclosure report on an annual basis, according to a 12-month in the-future **reporting period**:

      - **academic staff** under the Faculty Agreement or Librarian Agreement or Faculty Service Officer Agreement or Administrative and Professional Officer Agreement;

      - **support staff** who make financial or hiring decisions or who may have a research-related conflict;

      - **other staff** who make financial or hiring decisions;

      - other staff employed in a department, office or unit which has as its primary function the creation of legal relationships with individuals or entities that are not part of the University;

      - other staff who have the authority to enter into contracts or commitments on behalf of the University;

      - other staff who, as part of normal duties, have regular formal contact with individuals or entities that are not subject to the conflict policy;

      - a person who may have a research-related conflict.

   e. Notwithstanding the requirements outlined in 1.b. of this procedure, the University has the discretion to require additional persons to complete a disclosure report on an annual basis, according to a 12-month in-the-future reporting period, or on a case-by-case basis.

f. Any time there is a change in material facts that were disclosed in a disclosure report, a **reporting individual** must submit a revised disclosure report immediately.

g. A reporting officer will:

- solicit and monitor the submission of disclosure reports from those persons who they anticipate receiving a disclosure report;

- send second notice date-specified requests for a disclosure report to persons from whom they would anticipate receiving a disclosure report; and

- refer to a **conflict review officer** in instances where an expected disclosure report has not been submitted.

h. The failure of a reporting officer to solicit a disclosure report does not release a person from their obligation to disclose existing or potential conflict.

2. **Assessment by a Reporting Officer**

a. A reporting officer will receive disclosure reports from reporting individuals and will assess the information that has been provided in the disclosure report in accordance with this procedure.

b. If the reporting officer has a financial benefit or **financial interest** or **personal benefit** in the considerations being assessed, the reporting officer will refer the disclosure report to the next appropriate senior reporting officer who will assume the role of reporting officer or assign an alternate.

c. Where an existing or potential activity or situation is assessed for an actual or perceived conflict and where it is determined that there is:

- no conflict, the reporting officer will contact the reporting individual to indicate that they are free to proceed with the activity or engage in the situation.

- a conflict and the activity or situation does not sufficiently serve the interests of the University or is not appropriately manageable or not able to withstand the test of reasonable and independent scrutiny, the conflict will not be allowed and the reporting officer will contact the reporting individual to indicate that they are not free to proceed with, or continue to engage in, the activity or situation.

- a conflict and the activity or situation can be managed as an **allowed conflict**, a suitable method of monitoring and managing the allowed conflict will be determined and implemented before the reporting individual is free to proceed with, or continue to engage in, the activity or situation.

3. **Management of Allowed Conflict**

When an activity or situation can be managed as an allowed conflict, the reporting officer will:

a. Work with the reporting individual to settle on the terms and conditions under which an activity or situation associated with an allowed conflict will be conducted and managed;

b. Ensure documentation of any outcome in a memorandum of agreement in the specified form;

c. Ensure the term, conditions, and management of an activity associated with an allowed conflict is consistent with the *Freedom of Information and Protection of Privacy Act* and other legislation and University policy relevant to that activity;

d. Administer or delegate the on-going monitoring and management of allowed conflict;

e. Document all related matters and maintain records;

f. Refer unresolved matters to a conflict review officer appropriately; and

g. Keep senior officers of the University appropriately apprised.

In all instances of conflict involving research, the disclosure form should be submitted to the individual's reporting officer who will then consult with the Dean, Vice-President (Research) and Office of Faculty and Staff Relations as appropriate.

4. Referral Process

a. In the case of conflict of commitment, it is expected that the reporting individual and the reporting officer will come to an agreement; however, in the event that this is not possible, the position of the reporting officer is final and will stand as the University's position on the matter.

b. In the case of conflict of interest, the reporting individual and reporting officer need to first agree on whether the conflict considerations warrant an allowed conflict or not and, where applicable, on the method by which an allowed conflict is to be monitored and managed. If agreement cannot be reached, the matter is to be referred by the reporting officer to a conflict review officer or **conflict review committee**.

c. The conflict review officer or conflict review committee will work with the reporting individual and reporting officer in an effort to reach an agreeable outcome and will ensure documentation of any outcome in a memorandum of agreement in the specified form. If an agreeable outcome cannot be reached, the conflict review officer or conflict review committee will render a decision which shall be final and binding.

5. Conflict Review Committee Membership

a. For conflict involving research activity:

    i.   Chair, appointed by the Vice-President (Research);

    ii. One representative of the Research Services Office;

    iii. One academic staff member, appointed by the Vice-President (Research); and

    iv. Two members-at-large, appointed by the Provost and Vice-President (Academic).

    Within the overall membership, it is recommended that there be one member with legal expertise and one with previous conflict resolution experience.

b. For conflict involving non-research activity:

    i.   Chair, appointed by the Provost and Vice-President (Academic);

    ii. One staff member appointed by the Vice-Provost and Associate Vice-President (Human Resources); and

    iii. Two members-at-large, appointed by the Vice-Provost and Associate Vice-President (Human Resources).

    Within the overall membership, it is recommended that there be one member with legal expertise and one with previous conflict resolution experience. [WP23]

Procedure - Receipt and Acceptance of Gifts and Event Invitations

For the purpose of this Procedure, Gifts and Events do not include:

- normal and nominal gifts and event invitations between friends, where unrelated to the Employee's duties or position with the University, or
- attendance at social events if the social event is sponsored by a charitable foundation, a not-for-profit organization, a chamber of commerce, a board of trade, an economic development organization, the Governor General of Canada, a provincial Lieutenant Governor, any Canada federal, provincial, municipal or regional government or any member of any such government, or a consul or ambassador of a foreign country. .

Any Employee who is uncertain if acceptance of a Gift or an Event Invitation is appropriate should contact their Dean, Vice-President, the Provost or the President.

If there is uncertainty as to the value of a Gift or an Event, the Vice-President (Finance & Administration) shall have the authority to determine its value.

1. Acceptance of Gifts
    a. Employees of the University of Alberta must not accept any Gift directly or indirectly connected with the performance of their University duties or by virtue of their position, if the acceptance of the Gift may create a conflict of interest or the perception of a conflict of interest other than a Gift which is:

    i.   a token received as part of reasonable protocol,

    ii. a social obligation,

    iii. a cultural practice, or

    iv. as incident for participating in a public Event.

    b. All Employees must exercise reasonable discretion in determining whether the acceptance of any Gift is appropriate.

    c. The maximum cash value of any one Gift that an Employee of the University of Alberta may accept is $100.00, not exceeding $200.00 per calendar year received from a single source.

    d. If a Gift is also offered to a spouse, adult interdependent partner or minor child in their capacity as a spouse, adult interdependent partner or minor child of a University Employee, the same considerations apply as if the Gift was given to the Employee directly.

    e. Should any Gift be accepted which exceeds any maximum valuation set out in this Procedure, the Gift shall become the property of the University of Alberta.

    f. An Employee may seek an exemption from their Dean, Vice-President, the Provost or the President.

2. Acceptance of Invitations and Attending Events

    a. Employees of the University of Alberta must not accept any invitation to an Event, or attend any Event, if the acceptance or attendance may create a conflict of interest or the perception of a conflict of interest, other than:

    i.   an Event where a significant cross-section of Employees has been invited;

    ii. an Event where the Employee pays for their own food, beverages, and all other expenses;

    iii. an Event attended as an incident of the social obligations that normally accompany the Employee's position at the University.

b. All Employees must exercise reasonable discretion in determining whether the acceptance of any invitation to or attendance at any Event is appropriate.

c. The maximum cash value of attending an Event that an Employee has been invited to, inclusive of any food and beverage, is $400.00 per event, not exceeding $800.00 per calendar year received from a single source.

d. The cash value limitations do not apply to reasonable hospitality and travel arrangements provided by a person or organization hosting an Event at which the individual is playing an active role (e.g. presenter, panelist, etc) and is attending as a University Employee.

e. If the invitation to attend an Event is also extended to a spouse, adult interdependent partner or minor child, the total cash value of all tickets received are to be taken into account.

f. If an Employee is invited to an Event at which the maximum cash value of attendance, inclusive of any food and beverage, exceeds any stipulated maximum cash value, the Employee may seek an exemption from their Dean, Vice-President, the Provost or the President.

g. Should an Employee attend an Event that exceeds any maximum valuation set out in this Code and there is no exemption approved, the cash value of attending the Event, inclusive of any food and beverage, which exceeds the maximum valuation under this Code, will be reimbursed by the Employee to the person/entity who originally covered the cost.

F. Managing Conflicts of Interest with Supplementary Professional Activities

Collective Agreements with SPA Obligations

In addition to the obligations and expectations of all Representatives of the University of Alberta, the university's collective agreements provide direction for certain Representatives with respect to professional development through activity which is supplementary to their primary obligations to the university. Where Representatives are engaging in Supplementary Professional Activity ("SPA") pursuant to the terms of their collective agreement, they will not be considered to be in a conflict for the purposes of this Code.

The types of Representatives with SPA obligations, and the nature of those obligations, are excerpted directly from the relevant collective agreements below. Collective agreements are posted on the Human Resource Services website at http://hrs.ualberta.ca.

1. Faculty - Supplementary Professional Activities (SPA)

Collective agreement: Board of Governors of the University of Alberta and The Association of the Academic Staff of the University of Alberta – July 2017

Full collective agreement URL:
http://www.hrs.ualberta.ca/MyEmployment/~/media/hrs/MyEmployment/Agreements/Academic/Faculty.pdf

Relevant Excerpts

Article 8: Supplementary Professional Activities (SPA)

Scope and context of SPA

8.01   A staff member is a full-time employee and has a primary obligation to fulfil University responsibilities. The staff member shall remain current with recent developments in the discipline through personal professional development.

8.02   One means of accomplishing professional development may be through professional activity which is supplementary to the primary obligations to the University.

8.03   Such SPA shall represent an integral part of the responsibility to relate theory to practice, thereby enabling teaching and research to remain professionally relevant. Routine, repetitive and trivial SPA are discouraged.

Authorization of SPA

8.04   Subject to the provisions of this Article, a staff member may engage in SPA. SPA shall not prevent, hinder or unduly interfere with the staff member's primary responsibilities.

Required SPA

[...]

8.06   Where a Faculty Council has deemed SPA to be essential to the work of the Department, the Faculty Council shall recommend to the Board that such SPA be considered as part of the primary University responsibilities. The Board may approve such recommendations on such conditions as it deems appropriate, having regard to 8.11.

Definition of SPA

8.07   Without restricting the generality of the term SPA, this category shall include any of the following:

  a) employment in any capacity by another employer including the carrying out of teaching duties, e.g. summer session at another university;
  b) consulting;
  c) personal services contracts;
  d) private practice of the staff member's profession, e.g. medicine, dentistry, law, etc.

8.08   SPA may be categorized as major or minor in scope. Each Faculty Council shall decide what constitutes major SPA but all proposals to teach at another institution shall be considered major SPA.

Approval of SPA

8.09   A staff member shall obtain written approval of the Department Chair prior to undertaking major SPA. Prior to approving SPA, the Department Chair shall ensure that primary University responsibilities will be performed satisfactorily.

8.10   If there is a dispute with respect to a staff members SPA, the staff member shall have recourse to the Dean and the Provost, in that order. The decision of the Provost shall be final and binding.

Conditions

8.11   The authority and approval of SPA is subject to the following conditions:

  a) The staff member shall not compete unfairly with professionals outside the University.
  b) The SPA shall not infringe upon the University's conflict of interest guidelines.
  c) The SPA shall conform with regulations governing the use of University facilities and staff.
  d) The staff member shall indemnify and hold harmless the University from and against any loss, injury or damage which the University may or could suffer arising in any way out of or in

relation to such activities. The staff member gives this covenant and makes this agreement notwithstanding that the University has participated in such activities by the provision of facilities, space, equipment, or administrative assistance, unless the said loss, injury or damage arises directly from a malfunction of the said facilities or equipment which is not caused by the user thereof; and notwithstanding that the University has participated in such SPA by the provision of students or postdoctoral fellows or the like; and withstanding that any formal contract with respect to those SPA has not been negotiated by or approved by the University.

e) When engaged in SPA a staff member shall not use the name of the University in any way, except as the mailing address, nor shall the staff member hold himself or herself to be an agent of the University when engaged in SPA.

[...]

Faculty regulations

8.20   Each Faculty Council shall develop regulations with respect to SPA. The regulations and any amendments thereto shall be filed with the Provost and the Association. The regulations shall include:

a) The definition of what constitutes major SPA.
b) The format for the annual statement of SPA; the determination of the time period covered by the report; the date by which the report is to be submitted; and whether the annual statement about SPA shall be included in the annual report.
c) Any modifications to the requirement that SPA be taken into account in the evaluation of a staff member's performance.
d) Whether the time of year, week or day when SPA is performed is important to its approval and reporting.
e) Whether the annual statement shall include information about remuneration received from SPA.
f) Regulations governing the use of University facilities and staff for SPA including arrangements to reimburse the University for such use.
g) What evidence shall be required to ensure the staff member has adequate personal liability insurance to indemnify the University against any claims.
h) Such additional terms and conditions the Faculty Council may consider necessary; such terms and conditions shall be in addition to and not in contradiction to this Article.

Relevant Definitions (Article 1)

Staff Member: A person who has been appointed under this agreement to a faculty position on the academic staff of the University in which the person has been or may be granted tenure; this term includes both full time and part time staff who hold such positions.

Faculty Council: The council created by that name in accordance with section 28 of the Post Secondary Learning Act; for the purposes of this Agreement voting on decisions required by this Agreement shall be restricted to the staff members in the Faculty.

Department: The academic unit of a Faculty, established as such by the Board.

Dean: The chief executive officer of a Faculty.

Department Chair: The chief executive officer of a Department. Responsibilities assigned herein to a Department Chair shall be the responsibility of the Dean in Faculties in which there are no departments.

Board: The Governors of the University of Alberta.

[WP24]*2. Faculty Service Officer Supplementary Professional Activities (SPA)*

Collective agreement: Board of Governors of the University of Alberta and The Association of the Academic Staff of the University of Alberta – Faculty Service Officer Agreement – July 2017

Full collective agreement URL:
http://www.hrs.ualberta.ca/MyEmployment/~/media/hrs/MyEmployment/Agreements/Academic/FSO.pdf

Relevant Excerpts
Article 8: Supplementary Professional Activities (SPA)

8.01   A staff member is a full-time employee and has a primary obligation to fulfil University responsibilities. The staff member shall remain current with recent developments in the discipline through personal professional development.

8.02   Under certain circumstances it is appropriate for staff members to assume responsibilities at the University in addition to their regular duties and for which they may receive additional remuneration. These shall be duties which are performed outside regular office hours or while on vacation, e.g. lecturing in evening session, lecturing in Extension non-credit courses, etc. Requests to assume additional responsibilities shall be submitted, in writing, to the **Dean**.

8.03   A staff member who proposes to engage in activities outside the University which are related to his or her duties at the University or which are of a consulting nature, whether during regular University office hours or not, shall so inform his or her immediate supervisor. If the proposed activities are during regular office hours, the permission of the immediate supervisor, in writing, must be obtained prior to the staff member undertaking the activities. If University facilities are proposed to be used in the conduct of the outside activities, the permission of the immediate supervisor, in writing, must be obtained prior to the staff member utilizing such facilities. If the staff member expects to make extensive use of such facilities, the staff member may be required to reimburse the University for such use.

8.04   Care must be taken by the staff member that the outside activities are not in conflict of interest with the University duties.
[…]

9.17   During leave, the staff member shall not undertake alternative employment without the advance written approval of the Provost.

Relevant Definitions (Article 1)

Faculty Service Officer: Group of academic staff who assist and collaborate with faculty members in teaching and research process. Such staff members will normally have a post-graduate degree in the particular discipline to which they are attached. The tasks they are assigned may include an administrative component but this will not be a major component of the assignment. A position in this category shall be established under the same procedures as those used for faculty positions and staff members shall be counted with faculty in the staff count.

Staff Member: A person who has been appointed to a faculty service officer position on the academic staff of the University in which the person has been or may be granted a continuing appointment; this term includes both full time and part time staff who hold such positions.

Dean: The chief executive officer of a Faculty.[WP25]

3. Library - Supplementary Professional Activities (SPA)

Collective agreement: Board of Governors of the University of Alberta and The Association of the Academic Staff of the University of Alberta – Librarian Agreement – July 2017

Full collective agreement URL:
http://www.hrs.ualberta.ca/MyEmployment/~/media/hrs/MyEmployment/Agreements/Academic/Librarian.pdf

Relevant Excerpts

Article 8: Supplementary Professional Activities

Scope, context and authorization of supplementary professional activity

8.01   A staff member has a primary obligation to fulfil University responsibilities. A staff member who proposes to engage in activities outside the University which are related to his or her duties at the University or which are of a consulting nature, shall so inform the Chief Librarian. If the proposed activities are during regular office hours, the permission of the Supervisor and Chief Librarian, in writing, must be obtained prior to the staff member undertaking the activities. If University facilities are proposed to be used in the conduct of the outside activities, the permission of the Chief Librarian, in writing, must be obtained prior to the staff member utilizing such facilities. If the staff member expects to make extensive use of such facilities, the staff member may be required to reimburse the University for such use.

8.02   Under certain circumstances it is appropriate for staff members to assume responsibilities at the University in addition to their regular duties and for which they may receive additional remuneration. Requests to assume such additional responsibilities must be approved by the Supervisor and the Chief Librarian, in writing.

8.03   Such professional activity shall represent an integral part of the responsibility to relate theory to professional practice, thereby enabling professional practice to remain relevant.

8.04   Care must be taken by the staff member that the supplementary activities are not a conflict of interest with the University duties and do not prevent, hinder or unduly interfere with the staff member's primary responsibilities.

8.05   If there is a dispute with respect to a staff member's supplementary professional activity, the staff member shall have recourse to the Chief Librarian and the Provost, in that order. The decision of the Provost shall be final and binding.

Definition of supplementary professional activity

8.06   Without restricting the generality of the term supplementary professional activities, this category shall include any of the following:
   a)   employment in any capacity by another employer; including the carrying out of teaching duties;
   b)   consulting;
   c)   personal services contracts.

Conditions

8.07   The authority and approval of supplementary professional activity is subject to the following conditions:

  a) The staff member shall not compete unfairly with professionals outside the University.

  b) The supplementary professional activity shall not infringe upon the University's conflict of interest guidelines. (GFC Policy Manual Section 120.3)

  c) The supplementary professional activity shall conform with regulations governing the use of University facilities and staff. (Research Policies and Services Manual)

  d) The staff member shall indemnify and hold harmless the University from and against any loss, injury or damage which the University may or could suffer arising in any way out of or in relation to such activities. The staff member gives this covenant and makes this agreement notwithstanding that the University has participated in such activities by the provision of facilities, space, equipment, or administrative assistance, unless the said loss, injury or damage arises directly from a malfunction of the said facilities or equipment which is not caused by the user thereof; and notwithstanding that the University has participated in such supplementary professional activity by the provision of students or postdoctoral fellows or the like; and notwithstanding that any formal contract with respect to those supplementary professional activity has not been negotiated by or approved by the University.

  e) When engaged in supplementary professional activity, a staff member shall not use the name of the University in any way, except as the mailing address, nor shall the staff member hold himself or herself to be an agent of the University when engaged in supplementary professional activity.

Relevant Definitions (Article 1)

Staff Member: A person who has a degree from an accredited graduate program in library and/or information studies, or an equivalent program, who has been appointed to a librarian position on the academic staff of the University of Alberta, in which the person has been or may be granted tenure; this term includes both full time and part time staff who hold such positions.

Chief Librarian: The chief executive officer of the University Libraries.

Supervisor: The Administrative Librarian to whom the staff member reports and is accountable, or the Chief Librarian, or another staff member who is delegated that responsibility on behalf of the Administrative Librarian. At least annually, the Chief Librarian shall provide to the Association a complete list of staff members and the Supervisor to whom each reports. When a staff member reports to more than one person, the Supervisor shall consult with the other person in making evaluations.

Provost: The Provost and Vice President (Academic) of the University.[WP26]

4.   *Academic Teaching Staff – Supplementary Professional Activities (SPA)*

Collective agreement: Board of Governors of the University of Alberta and The Association of the Academic Staff of the University of Alberta – Academic Teaching Staff Agreement – July 2017

Full collective agreement URL:
http://www.hrs.ualberta.ca/MyEmployment/~/media/hrs/MyEmployment/Agreements/Academic/ATS.pdf

Relevant Excerpts

Article 8: Supplementary Professional Activities (SPA)

8.1   This Article shall apply to full-time staff members with Career Status and Term 12 Status appointments.

Scope and Context of SPA

8.2   A staff member who is a full-time employee has a primary obligation to fulfill University responsibilities. The staff member shall remain current with recent developments in the discipline through personal professional development.

8.3   One means of accomplishing professional development may be through professional activity which is supplementary to the primary obligations to the University.

8.4   Subject to the provisions of this Article, a staff member may engage in SPA. SPA shall not prevent, hinder or unduly interfere with the staff member's primary responsibilities.

Definition of SPA

8.5   Without restricting the generality of the term SPA, this category shall include any of the following:
   a) employment in any capacity by another employer including the carrying out of teaching duties, e.g., summer session at another university;
   b) consulting;
   c) personal services contract; or
   d) private practice of the staff member's profession, e.g., dentistry, law, medicine, nursing, etc.

Approval of SPA

8.6   A staff member shall obtain written approval of the Department Chair prior to undertaking major SPA. Prior to approving SPA, the Department Chair shall ensure that primary University responsibilities will be performed satisfactorily.

8.7   If there is a dispute with respect to a staff member's SPA, the staff member shall have recourse to the Dean and the Provost, in that order. The decision of the Provost shall be final and binding.

8.8   The conditions governing SPA are set out in Appendix D.

[…]

APPENDIX D: Conditions for Supplementary Professional Activities (SPA)

1.   The authority and approval of SPA is subject to the following conditions:
   a) The staff member shall not compete unfairly with professionals outside the University.
   b) The SPA shall not infringe upon the University's conflict policy and related procedures and protocols, as amended from time to time.
   c) The SPA shall conform with the University's related policies, procedures and protocols related to the use of University facilities and staff, as amended from time to time.
   d) The staff member shall indemnify and hold harmless the University from and against any loss, injury or damage which the University may or could suffer arising in any way out of or in relation to such activities. The staff member gives this covenant and makes this agreement notwithstanding that the University has participated in such activities by the provision of facilities, space, equipment, or administrative assistance, unless the said loss, injury or damage arises directly from a malfunction of the said facilities or equipment which is not caused by the user thereof; and notwithstanding that the University has participated in such SPA by the provision of students or postdoctoral fellows or the like; and notwithstanding that any formal contract with respect to those SPA has not been negotiated by or approved by the University.

e) When engaged in SPA a staff member shall not use the name of the University in any way, except as the mailing address, nor shall the staff member hold himself or herself to be an agent of the University when engaged in SPA.

[...]

4. SPA shall represent an integral part of the responsibility to relate theory to practice, thereby enabling teaching and/or teaching-related responsibilities to remain professionally relevant. Routine, repetitive and trivial SPA is discouraged.

Required SPA

[...]

6. Where a Faculty Council has deemed SPA to be essential to the work of the Department, the Faculty Council shall recommend to the Board that such SPA be considered as part of the primary University responsibilities. The Board may approve such recommendations on such conditions as it deems appropriate, having regard to 1.a.

Major SPA

7. SPA may be categorized as major or minor in scope. Each Faculty Council shall decide what constitutes major SPA but all proposals to teach at another institution shall be considered major SPA.

[...]

Faculty Regulations

13. Each Faculty Council shall develop regulations with respect to SPA. The regulations and any amendments thereto shall be filed with the Provost and the Association. The regulations shall include:
    a) The definition of what constitutes major SPA.
    b) The format for the annual statement of SPA; the determination of the time period covered by the report; the date by which the report is to be submitted and whether the annual statement about SPA shall be included in the annual report.
    c) Any modifications to the requirement that SPA be taken into account in the evaluation of a staff member's performance.
    d) Whether the time of year, week or day when SPA is performed is important to its approval and reporting.
    e) Whether the annual statement shall include information about remuneration received from SPA.
    f) Regulations governing the use of University facilities and staff for SPA including arrangements to reimburse the University for such use.
    g) What evidence shall be required to ensure the staff member has adequate personal liability insurance to indemnify the University against any claims.
    h) Such additional terms and conditions the Faculty Council may consider necessary; such terms and conditions shall be in addition to and not in contradiction to this Appendix

Relevant Definitions (Article 1)

Staff Member: A person who has been appointed under this Agreement to a position with teaching and/or teaching-related responsibilities (in accordance with Article 7) on the academic staff of the University (where teaching shall involve University credit courses) and where the funding source permits payment of such responsibilities

Department Chair: The administrative head of a Department reporting to the Dean. Responsibilities assigned in this Agreement to a Department Chair shall be the responsibility of the Dean in Faculties in which there are no Departments.

Dean: A University employee who "has general supervision over and direction of the academic work and instructional staff of the Faculty and of the officers and employees employed in connection with that work, and has the other powers, duties and functions that are assigned to the dean by the president" pursuant to Section 21(2) of the Post-Secondary Learning Act (Alberta).

Provost: The Provost and Vice President (Academic) of the University. The Provost is the Chief Operating Officer and Senior Vice President.

Faculty Council: The council created by that name pursuant to Section 28(2) of the Post-Secondary Learning Act (Alberta); for the purposes of this Agreement voting on decisions required by this Agreement shall be restricted to the academic staff members in the Faculty.[WP27]

5. Temporary Administrative and Professional Staff (TAPS) – Supplementary Professional Activities (SPA)

Collective agreement: Board of Governors of the University of Alberta and The Association of the Academic Staff of the University of Alberta – Temporary Administrative and Professional Staff Agreement – July 2017

Full collective agreement URL:
http://www.hrs.ualberta.ca/MyEmployment/~/media/hrs/MyEmployment/Agreements/Academic/TAPS.pdf

Relevant Excerpts

Article 9: Supplementary Professional Activities (SPA)

All Staff Members

9.01   This Article shall apply to all full-time staff members.

Scope and Context of SPA

9.02   A staff member who is a full-time employee has a primary obligation to fulfil University responsibilities. The staff member shall remain current with recent developments in the discipline through personal professional development.

9.03   One means of accomplishing professional development may be through professional activity which is supplementary to the primary obligations to the University.

9.04   Subject to the provisions of this Article, a staff member may engage in SPA. SPA shall not prevent, hinder or unduly interfere with the staff member's primary responsibilities.

Definition of SPA

9.05   Without restricting the generality of the term SPA, this category shall include any of the following:
   a) employment in any capacity by another employer including the carrying out of teaching duties, e.g., summer session at another university;
   b) consulting;
   c) personal services contract;
   d) private practice of the staff member's profession, e.g., medicine, nursing, law, etc.

Approval of SPA

9.06   A staff member shall obtain written approval of the Supervisor prior to undertaking major SPA. Prior to approving SPA, the Supervisor shall ensure that primary University responsibilities will be performed satisfactorily.

9.07   If there is a dispute with respect to a staff member's SPA, the staff member shall have recourse to the Dean and the Vice-President, in that order. The decision of the Vice-President shall be final and binding.

9.08   The conditions governing SPA are set out in Appendix D.

[…]

Appendix D: Conditions for Supplementary Professional Activities (SPA)

1.   **SPA at the University**

1.1   Under certain circumstances, a staff member may accept responsibilities at the University in addition to regular responsibilities for which the staff member may receive remuneration additional to regular salary.

1.2   The Supervisor and the Vice-President shall approve requests for approval of such SPA prior to the assumption of the responsibilities.

1.3   SPA shall be performed outside regular office hours unless otherwise approved by the Vice-President.

2.   SPA Outside the University

2.1   A staff member who proposed to engage SPA for another employer or as a consultant or self employed professional shall inform the Supervisor in writing of such intention.

2.2   The written permission of the Supervisor is required if
a)   the activities will take place during regular University office hours; or
b)   the activities involve University staff, students or the use of University facilities.

Relevant Definitions (Article 1)

Staff Member: A person who has been appointed to a position on the academic staff of the University for a fixed term. This term includes all the categories enumerated in Article 6.03.

Supervisor: The person to whom a staff member reports[WP28]

6. Administrative and Professional Officers – Supplementary Professional Activity

Collective agreement: Board of Governors of the University of Alberta and The Association of the Academic Staff of the University of Alberta – Administrative and Professional Officer Agreement – July 2017

Full collective agreement URL:
http://www.hrs.ualberta.ca/MyEmployment/~/media/hrs/MyEmployment/Agreements/Academic/APO.pdf

Relevant Excerpts

Supplementary Professional Activity Outside the University

8.09   A staff member who proposes to engage in supplementary professional activity for another employer or as a consultant or self-employed professional shall inform the Supervisor in writing of such intention.

8.10   The written permission of the Supervisor is required if:
   a)   the activities will take place during regular University office hours; or
   b)   the activities involve University staff, students or the use of University facilities.

8.11   If the staff member expects to involve students, staff or the use of University facilities, the staff member may be required by the Vice-President to enter into a contract with the University.

8.12   A staff member shall not engage in supplementary professional activities which involve a conflict of interest or conflict of commitment with responsibilities to the University.

Relevant Definitions (Article 1)

Staff Member and APO: "Staff member" and "APO" means an Administrative Professional Officer (APO) who has been designated as continuing academic staff by the University of Alberta. An APO is a manager or other professional who provides leadership, strategic advice and direction in the organization; and is accountable for planning, negotiating, problem solving, risk assessment and prevention, and/or operational oversight of resources. An APO shall normally require an academic degree; professional designation or equivalent related experience.

Vice-President: A senior administrator with a number of reporting units within the University. Where the term "Vice-President" is used in the Agreement, unless otherwise stated, it means the specific Vice-President to whom the other administrative officials named are accountable unless otherwise specified.[WP29]

G.   Notice Period & Amendments

1.   This Code will be submitted to the Ethics Commissioner for review pursuant to section 23.922 of the *Conflicts of Interest Act*.

2.   Providing approval has been received from the Ethics Commissioner in accordance with the *Conflicts of Interest Act*, this Code will be made public on or before April 30, 2019.

3.   The period from the date the Code is made public, until June 30 2019 will be the public notice period.

4.   This Code will be implemented on July 1, 2019.

5.   The University reserves the right to amend this Code at any time, including but not limited to:

   a.   on the advice or demand of the Office of the Ethics Commissioner of Alberta; or

   b.   where required to ensure compliance with any changes to the *Conflicts of Interest Act,* the *Post-Secondary Learning Act*, or any other applicable legislation or order-in council; or

   c.   where changes are made to University of Alberta policies and procedures through the appropriate internal approval processes and/or to collective agreements through normal negotiation processes.

6.   Any amendment or replacement of this Code will be submitted to the Ethics Commissioner for approval in a manner pursuant to section 23.923(2) of the *Conflicts of Interest Act* and any other applicable legislation.

H. Administrative

1. In the case of an inconsistency between the language in this Code and the relevant University policy, procedure or collective agreement, the language in the policy, procedure or collective agreement will govern.

Item No. 9

OUTLINE OF ISSUE
Action Item

Agenda Title: **Proposal from the Faculty of Graduate Studies and Research to terminate the Post Graduate Diploma in Health Promotion effective immediately upon approval.**

Motion: THAT General Faculties Council, as recommended by the GFC Academic Planning Committee, recommend that the Board of Governors approve the termination of the Post Graduate Diploma in Health Promotion offered through the School of Public Health, as submitted by the Faculty of Graduate Studies & Research, and as set forth in Attachment 1, to be effective upon approval.

Item

Action Requested	☐Approval ☒Recommendation
Proposed by	Heather Zwicker, Dean, Faculty of Graduate Studies and Research Kue Young, Dean, School of Public Health
Presenter	Jeffrey Johnson, Associate Dean, Education, School of Public Health Deborah Burshtyn, Vice-Dean, Faculty of Graduate Studies and Research

Details

Responsibility	Provost and Vice-President (Academic)
The Purpose of the Proposal is (please be specific)	To terminate the Post Graduate Diploma in Health Promotion
The Impact of the Proposal is	No impact on students is expected due to the termination of this diploma. In the past five years, only two students were admitted to the post-graduate diploma in Health Promotion (PGD) program, in 2012 and 2013 respectively. Neither completed the diploma - one withdrew and the other allowed her program to lapse. The School stopped admitting students into this program in Fall 2015.
Replaces/Revises (eg, policies, resolutions)	N/A
Timeline/Implementation Date	Upon final approval
Estimated Cost and funding source	N/A
Next Steps (ie.: Communications Plan, Implementation plans)	No further plans for communication or implementation required; information on PGD has been removed from School website.
Supplementary Notes and context	N/A

Engagement and Routing (Include meeting dates)

Participation: (parties who have seen the proposal and in what capacity) <For further information see the link posted on the	*Those who have been **informed**:* • Faculty Council, School of Public Health *Those who have been **consulted**:* • Vice Dean, Faculty of Graduate Studies and Research (final review of proposal) • Graduate Governance and Policy Coordinator, Faculty of Graduate Studies and Research (final review of proposal)

Governance Toolkit section Student Participation Protocol	• Portfolio Initiatives Manager, Office of the Provost and Vice-President (Academic) (final review of proposal)
	*Those who are actively **participating**:* • none
Approval Route (Governance) (including meeting dates)	School of Public Health Faculty Council—approved October 13, 2017 Faculty of Graduate Studies and Research Council—approved November 29, 2017 GFC Academic Planning Committee—recommended to GFC March 14, 2018 GFC Executive Committee—for information April 9, 2018 General Faculties Council—April 30, 2018 Board Learning and Development Committee—June 1, 2018 Board of Governors —June 15, 2018
Final Approver	Board of Governors

Alignment/Compliance

Alignment with Guiding Documents	*For the Public Good* GOAL: SUSTAIN our people, our work, and the environment by attracting and stewarding the resources we need to deliver excellence to the benefit of all. Objective 21: Encourage continuous improvement in administrative, governance, planning, and stewardship systems, procedures, and policies that enable students, faculty, staff, and the institution as a whole to achieve shared strategic goals.
Compliance with Legislation, Policy and/or Procedure Relevant to the Proposal (please quote legislation and include identifying section numbers)	**1. *Post-Secondary Learning Act (PSLA)*:** The *PSLA* gives GFC responsibility, subject to the authority of the Board of Governors, over academic affairs and more specifically to "determine all programs of study to which clause (b) does not apply that are to be offered by the university for credit toward the requirements for any degree or diploma" (26(1)(c) **2. *PSLA***: The *PSLA* gives Faculty Councils power to "determine the programs of study for which the faculty is established" (29(1)(a)). **3. GFC Academic Planning Committee Terms of Reference** (Mandate) "8. Establishment/Termination of Academic Programs […] b. To recommend to GFC on the termination of academic programs at the University of Alberta or those administered in cooperation with other post-secondary institutions." **4. Board Learning and Discovery Committee (BLDC) Terms of Reference:** "3. MANDATE OF THE COMMITTEE Except as provided in paragraph 4 hereof and in the Board's General Committee Terms of Reference, the Committee shall, in accordance with

	the Committee's responsibilities with powers granted under the *Post-Secondary Learning Act*, monitor, evaluate, advise and make decisions on behalf of the Board with respect to matters concerning the teaching and research affairs of the University, including proposals coming from the administration and from General Faculties Council (the "GFC"), and shall consider future educational expectations and challenges to be faced by the University. The Committee shall also include any other matter delegated to the Committee by the Board. […] c. review and approve recommendations of GFC for major changes in instructional and research programs and other academic matters; […] 4. LIMITATIONS ON DELEGATION BY THE BOARD This general delegation of authority by the Board to the Committee shall be limited as set out in this paragraph. Notwithstanding the general delegation of authority to the Committee as set out in paragraph 3, the Board shall make all decisions with respect to: […] b. program approvals involving the creation or abolition of a degree program (but not specializations of an existing degree).

Attachments (each to be numbered 1 - <>)

1. Attachment 1 (page(s) 1 - 4) Proposal for Termination and Calendar revisions

Prepared by: Janice Hurlburt, Graduate Governance and Policy Coordinator, janice.hurlburt@ualberta.ca

Alberta Advanced Education

Proposal Template: Program Termination

<mark>Use this template for proposals to terminate ministry-approved programs or specializations.</mark>

SECTION 1: PROPOSAL INFORMATION

1.1 Fill in the table below:

Institution	University of Alberta
Program/specialization name	Health Promotion
Credential awarded	Post Graduate Diploma
Proposed effective date of termination	Effective immediately

1.2 Confirm whether:

1.2.1 ☐ This termination proposal was preceded by a ministry-approved suspension period.

☒ This termination proposal was <u>not</u> preceded by a ministry-approved suspension period.

1.2.1a If this proposal was preceded by a suspension, attach approval letter.

1.2.1b If this proposal was not preceded by a suspension, explain why ministry approval for a suspension was not sought prior to requesting a termination.

Ministry approval was not sought as the demand for the program was low and self-evident.

1.2.1c If not preceded by suspension, indicate when students were last admitted into the program/specialization.

In the past five years, only two students were admitted to the post-graduate diploma in Health Promotion (PGD) program, in 2012 and 2013 respectively. Neither completed the diploma - one withdrew and the other allowed her program to lapse. The School stopped admitting students into this program in Fall 2015.

1.2.2 ☒ No active students remain in the program.

☐ Active program students remain in the program.

1

2.1 Identify reason(s) for termination with supporting evidence (e.g., low student demand, declining labour market demand, institutional capacity, provincial priorities, etc.).

This program was established in anticipation of interest among mid-career professionals seeking to enhance their health promotion competencies without completing a degree. The PGD attracted few applicants from the time of its inception. Over the course of its history, three students who were admitted to the diploma program completed it.

2.2 Provide specific information about which internal governance body approved the termination, and provide date of approval. (Attach copy of minutes or motions.)

The termination of the PGD in Health Promotion was reviewed by the Committee for Educational Policies and Programs (CEPP) in the School of Public Health and approved a recommended for termination on October 10, 2017.
The termination of the PGD in Health Promotion was presented to the School of Public Health's Faculty Council on October 13, 2017, which was subsequently approved by electronic vote.

The termination of the PGD in Health Promotion was approved by the Faculty Council on November 29, 2017.

SECTION 3: ACCESS

3.1 Identify student access considerations and risks for Campus Alberta (include information about related programs or other avenues available to students to prepare for careers/employment and/or further educational opportunities).

There are no risks for student access. We currently offer an MPH in Health Promotion, with both on-campus and distance delivery; many students enroll in this program on a part-time basis and maintain employment

3.2 If this program or specialization is unique in the province, describe the consultation(s) undertaken within Campus Alberta to investigate the feasibility of program/specialization transfer.

We did not undertake any broader consultation, given that we offer alternate programs within the School.

3.3 Describe the consultation process that occurred with students at your institution regarding this programming change.

Alberta Advanced Education

We have representatives from the School of Public Health Student Association on CEPP and Faculty Council, and they had an opportunity to provide input on the termination and vote on the decision.

SECTION 4: IMPACT

4.1 Describe the consultation process that occurred with other stakeholders (e.g., advisory committees, regulatory bodies, employers, etc.) affected by this programming change.

We did not undertake any broader consultation, given that we offer alternate programs within the School.

4.2 Describe plans for communicating the termination decision to stakeholders, particularly regulatory bodies (if applicable) and other Campus Alberta institutions.

We have removed information on the PGD from our website. We have no other plans for communication.

4.3 Describe plans for reallocation of resources previously used for this program/specialization and identify budget and staffing impacts.

There are no budget or staffing implications for this termination.

OTHER CONSIDERATIONS

Please indicate if there are additional factors you would like the ministry to consider when reviewing this proposal.

None.

RECOMMENDATION (FOR DEPARTMENT USE)

Recommendation(s):

Rationale for Recommendation:

Reviewer(s):

Date Completed:

November 17, 2017

2019-2020 University of Alberta Proposed Calendar Graduate Program Changes: termination of the Postgraduate Diploma in Public Health, School of Public Health, submitted by the Faculty of Graduate Studies and Research. Calendar to be updated once the termination is approved by Advanced Education.

Current	Proposed

Graduate Programs
 	
Public Health [Graduate]
[...]
Graduate Program Requirements
 	
~~**The Postgraduate Diploma in Public Health in Health Promotion (Not currently offered)**~~
 	
~~**Program Requirements**~~
 	
~~Students must complete the following:~~
 	
~~1. Required courses (★18):~~
   • ~~SPH 501 - Determinants of Health~~
   • ~~SPH 503 - Introduction to Health Promotion Research~~
   • ~~SPH 504 - Health Promotion Planning and Evaluation~~
   • ~~SPH 510 - Health Promotion with Communities~~
   • ~~SPH 597 - Fundamentals of Epidemiology for Public Health~~
~~2. Electives:~~
   • ~~four (★12) graduate-level courses approved by the student's Advisor.~~
 	
~~**Length of Program**~~
~~Students may undertake the Diploma program on a part-time or full-time basis. The maximum time permitted for completion of the program is four years (part- or full-time) from the date of first registration.~~
	Graduate Programs
	
	Public Health [Graduate]
	[...]
	Graduate Program Requirements
	
	[Remove from Calendar]

Justification: No active students in the diploma; no longer admitting students to the diploma.

Approved by: School of Public Health Faculty Council on October 13, 2017; FGSR Council Nov 29, 2017

Item No. 10

OUTLINE OF ISSUE
Action Item

Agenda Title: **Terms of Reference for a new free-standing GFC Nominating Committee and the Disbandment of the GFC Replenishment Committee**

Motion I: THAT General Faculties Council approves the terms of reference for a free-standing GFC Nominating Committee as set forth in Attachment 1, to take effect July 1, 2018, and approve the accompanying transition plan, as set forth in Attachment 2, to take effect May 1 until June 30, 2018.

Motion II: THAT General Faculties Council approves the disbandment of the GFC Replenishment Committee, effective June 30, 2018.

Item

Action Requested	☒Approval ☐Recommendation
Proposed by	GFC Executive Committee/Nominating Committee
Presenter	Jonathan White, Chair, GFC Nominating Committee

Details

Responsibility	General Faculties Council
The Purpose of the Proposal is (please be specific)	To approve the terms of reference for a new free-standing GFC Nominating Committee and the plan to transition from the current to the new committee structure. To disband the GFC Replenishment Committee on June 30, 2018, once the new GFC Nominating Committee is approved.
The Impact of the Proposal is	The new GFC Nominating Committee will be responsible for the replenishment of all GFC standing committees. The committee would also be charged with responsibility for encouraging, identifying and securing a diverse group of individuals who are prepared to be active and engaged members of GFC committees. The GFC Replenishment Committee would no longer be needed as its responsibility for the replenishment of the GFC Executive Committee/ Nominating Committee would be taken on by the new GFC Nominating Committee. The composition of the new committee reflects the Principles of Committee Composition approved by GFC in April 2017. The composition includes elected faculty GFC members as representatives of GFC and its responsibility for academic governance. The inclusion of up to 2 recent former members recognizes the value of providing strategic views and a longer term window of experience currently provided through the work of the Replenishment Committee. The composition includes ex-officio representation from the Graduate Students' Association and the Students' Union in their roles of representing the student bodies. In addition, a graduate student and undergraduate student GFC member would provide a perspective outside of the GSA and SU and allow for additional student perspectives to participate. An elected graduate student GFC member does not serve on the current Nominating Committee.

	One non-academic staff member is on the committee to provide a link with GFC and GFC committee members in this category and to inform recommendations for members coming forward in this category. The inclusion of a Dean on the committee gives an institutional perspective to the process and also creates linkages to other Deans/Faculties to emphasize the importance and value of academic governance and to encourage more faculty members to serve in this capacity.
Replaces/Revises (eg, policies, resolutions)	The new GFC Nominating Committee will replace the subcommittee of GFC Executive Committee (Nominating Committee) that is currently responsible for the replenishment of GFC standing committees. The new GFC Nominating Committee will replace the GFC Replenishment Committee.
Timeline/Implementation Date	Establishment of the new free-standing GFC Nominating Committee – July 1, 2018 Transition period – May 1, 2018 – June 30, 2018 Disbandment of the GFC Replenishment Committee – June 30, 2018
Estimated Cost and funding source	N/A
Next Steps (ie.: Communications Plan, Implementation plans)	Upon approval of the new free-standing GFC Nominating Committee, the current elected staff members to GFC Executive and Nominating Committees will indicate their interest in serving on the new committee. GFC members will be called upon to fill vacancies and a joint Replenishment Committee/Nominating Committee meeting will be scheduled to replenish seats on GFC Executive Committee and the new GFC Nominating Committee for terms beginning July 1, 2018.
Supplementary Notes and context	A new free standing Nominating Committee would be governed by Principles of Committee Composition including no more than 2 members per faculty and the restriction that members can sit on no more than 3 standing committees. The proposed terms of reference will include the delegated authority to replenish Nominating Committee and the Executive Committee. The Replenishment Committee is currently responsible for the replenishment of the GFC Executive/Nominating Committee. The committee would also be charged with responsibility for encouraging, identifying and securing a diverse group of individuals who are prepared to be active and engaged members of GFC committees. ---- *(excerpt from ad hoc report)* **"FREE-STANDING NOMINATING COMMITTEE / DISBANDING OF REPLENISHMENT COMMITTEE**

Currently the Nominating Committee is a sub-committee of the Executive Committee. Its members include the elected members and ex-officio student members of the Executive Committee and a non-academic staff member of GFC. While this structure has been effective in the past, members of the Nominating Committee believe their effectiveness as a committee is constrained by the fact that its role in managing the nomination process is an additional duty rather than their primary focus. Some GFC members have also noted that having the Executive Committee be responsible for nominations contributes to perceptions of concentration of authority and lack of transparency.

The ad hoc committee is recommending the establishment of a free-standing Nominating Committee charged with responsibility for encouraging, identifying, and securing a diverse group of individuals who are prepared to be active and engaged members of GFC committees. Once the new Nominating Committee is established, the existing Replenishment Committee – which currently replenishes the Nominating Committee – could be disbanded.

A move in this direction will need to be implemented in stages to ensure time to transition from the old to the new committee structure, and to review and revise processes and timelines for replenishment and nomination.

Recommendation: THAT a free-standing Nominating Committee be established

Recommendation: THAT the Replenishment Committee remain in place in the interim and be disbanded when no longer needed"

Engagement and Routing (Include meeting dates)

Participation: (parties who have seen the proposal and in what capacity) <For further information see the link posted on the [Governance Toolkit section Student Participation Protocol](#)>	*Those who have been **consulted**:* • GFC - Early Consultation/Verbal Briefing (February 26, and March 19, 2018) • GFC Executive Committee - Early Consultation/Verbal Briefing by Nominating Committee Chair (February 12, and March 5, 2018)
	*Those who are actively **participating**:* • GFC Executive Committee directed Nominating Committee to provide a structure and transition plan to a free standing Nominating Committee (October 16, 2017) • GFC Nominating Committee (December 14, 2017) • Joint meeting of GFC Nominating and Replenishment Committees (January 15 and February 12 ,2018) • GFC Transition Committee
Approval Route (Governance) (including meeting dates)	GFC Nominating Committee – February 12, 2018 GFC Executive Committee – April 9, 2018 General Faculties Council – April 30, 2018
Final Approver	General Faculties Council

Alignment/Compliance

UNIVERSITY OF ALBERTA UNIVERSITY GOVERNANCE	**GENERAL FACULTIES COUNCIL** For the Meeting of April 30, 2018

Item No. 10

Alignment with Guiding Documents	*For the Public Good:* **Objective 21:** Encourage continuous improvement in administrative, governance, planning, and stewardship systems, procedures, and policies that enable students, faculty, staff, and the institution as a whole to achieve shared strategic goals.
Compliance with Legislation, Policy and/or Procedure Relevant to the Proposal (please <u>quote</u> legislation and include identifying section numbers)	***Post-Secondary Learning Act (PSLA)*** **Powers of general faculties council** **26(1)** Subject to the authority of the board, a general faculties council is responsible for the academic affairs of the university and, without restricting the generality of the foregoing, has the authority to **(3)** A general faculties council may delegate any of its powers, duties and functions under this Act, including the powers referred to in section 31, as it sees fit and may prescribe conditions governing the exercise or performance of any delegated power, duty or function, including the power of subdelegation.

Attachments:

1. Draft Terms of Reference for a free-standing Nominating Committee
2. Proposed Transition Strategy for a free standing Nominating Committee
3. Resources including: GFC approved Principles and Report of the ad hoc Committee on Academic Governance including Delegated Authority

Prepared by: University Governance

1. Mandate and Role of the Committee

The Nominating Committee (NC) is a standing committee of GFC responsible for recommending individuals to serve on GFC standing committees and other bodies requiring representation from GFC or the University community. In putting forward its recommendations, the Committee will ensure the best possible match between prospective members and the committees to which they are nominated, and ensure the broadest possible base of representation and diversity.

2. Areas of Responsiblity

a. Review and recommend to GFC the replenishment of GFC standing committees and other bodies requiring representation from the university community.
b. Develop and support engagement and communication strategies to encourage individuals to serve on GFC, GFC standing committees and/or other governance bodies.
c. Appoint the Chair and Vice Chair of the GFC Student Conduct Policy Committee (SCPC)
d. **The Chair** may be called upon to provide input/feedback on other bodies seeking representation from the university community including, but not limited to, Selection/Review Committees (Vice-Presidents and Deans), major award selection committees.

3. Composition

Voting Members (13)

Ex-officio (2)
- Vice-President (Academic), Graduate Students' Association
- Vice-President (Academic), Students' Union

Elected by GFC (11)
- 7 academic staff (A1.1, A1.5, A1.6, A1.7), at least 5 who are current members of GFC and up to 2 recent former GFC members. One member, ideally a member of GFC, will be elected by the committee to serve as Chair. One member, ideally a member of GFC, will be elected by the committee to serve as Vice-Chair.
- 1 Dean
- 1 non-academic staff (S1.0) from GFC
- 1 undergraduate student from GFC
- 1 graduate student from GFC

Non-voting Members
- University Secretary
- GFC Secretary
- Appeals Coordinator as defined in the Code of Student Behaviour, Code of Applicant Behaviour and the Practicum Intervention Policy

4. Delegated Authority from General Faculties Council

Should be reviewed at least every three years and reported to GFC.

4.1 Discretionary power to nominate for terms of less than three years, should such be needed, to provide an overlap of experience in committees of GFC. This discretionary power may be exercised at the request of the committee involved. Terms of one or two years will be submitted by the Nominating Committee in the same manner as for three-year terms.

4.2 Appoint the Chair and Vice-Chair of the GFC Student Conduct Policy Committee (SCPC).

5. Responsiblities Additional to Delegated Authority

5.1 Review and recommend to GFC the replenishment of GFC standing committees and other bodies requiring representation from the university community.

5.2 Develop and support engagement and communication strategies to encourage individuals to serve on GFC, GFC standing committees and/or other governance bodies.

5.3 Duties of the Nominating Committee Chair
   a. The Chair may be called upon to provide input/feedback on other bodies seeking representation from the university community including, but not limited to, Selection/Review Committees (Vice-Presidents and Deans), major award selection committees

6. Sub-delegations from Nominating Committee
Should be reviewed at least every three years and reported to GFC.

None.

7. Limitations to Authority
The following further refines or places limitations on authorities held by or delegated to NC:

7.1 The committee provides a report of its recommendations to GFC who will then have the opportunity to add further eligible nominees. If further eligible nominations are received, an election may be held according to the Nominating Committee process which can be found at: *governance.ualberta.ca*; otherwise, the report of the committee is considered approved and the nominees elected.

7.2 The Nominating Committee will be replenished by the same rigorous process as the GFC standing committees (see 5.1) and in accordance with its mandate.

8. Reporting to GFC
The Committee should regulary report to GFC with respect to its activities and decisions.

9. Definitions
Academic staff – as defined by the Recruitment Policy (Appendix A) Definition and Categories of Academic Staff, Administrators and Colleagues in UAPPOL

Non-Academic staff – as defined by the Recruitment Policy (Appendix B) Definition and Categories of Support Staff in UAPPOL

10. Links
UAPPOL (Recruitment Policy, Awards for Faculty Excellence Policy)

Approved by General Faculties Council: [date]

PROPOSED GFC NOMINATING COMMITTEE TRANSITION STRATEGY

To form a 'Free-Standing Nominating Committee'

2018 GOVERNANCE CONSULTATION AND APPROVAL PATH				Completed
Dec -14-2017	NC	Meeting	Mandate Overview/Orientation Session	✓
Jan-15-2018	NC-RC	Joint Meeting	Review of Draft Terms, Transition Strategy	✓
Feb-12-2018	NC-RC	Joint Meeting	Review of Terms/Transiton/Training Session	✓
Feb-26-2018	GFC	Meeting	Update (NC>GFC): verbal brieing by NC Chair/delegate	✓
Mar-05-2018	EXEC	Meeting	Early Consultation regarding Transition Strategy (to form a "Free Standing Committee")	✓
Mar-19-2018	*GFC*	*Meeting*	Early Consultation regarding Transition Strategy (to form a "Free Standing Committee")	✓
Apr-09-2018	EXEC	Meeting	For Recommendation (Exec >GFC): Proposed new Terms with Strategy	✓
Apr-30-2018	**GFC**	Meeting	**For Approval - Proposed new Terms with Strategy**	

PROPOSED TRANSITION CYCLE TO REPLENISH the GFC Executive Committee (EXEC) and the GFC Nominating Committee (NC) for the 2018-19 Academic Year			
May-1-2018	GFC		**New Student Terms begin:** (a) for all STUDENTS elected into GFC seats; (b) all GFC Student-Members elected into GFC Committees
May-1-2018	NC	by Email	NC Chair writes to **current NC elected Staff representatives** asking to advise of their continued interested to remain as serving members on "new" NC
May-7-2018	NC	by Email	Deadline for confirmation by NC members of their NC membership interest *(Note: same day as NC's Annual Staff Replenishment Meeting)*
May-9-2018	NC	by Email	NC calls upon eligible GFC elected staff to submit GFC Committee applications to fill upcoming vacancies on "EXEC and NC" committees for a terms commencing July 1. *(Terms of office for staff members are normally three (3) years in duration, running from July 1 through June 30.)*
May-19-2018	NC	by eFORM	Deadline for GFC committee applications to be received by University Governance to form the "EXEC and NC" (2018-19) nomination pool.
June-04-2018	RC-NC	Meeting	Joint Meeting of the GFC Replenishment and GFC Nominating Committees to replenish seats on EXEC and NC effective July 1, 2018.
June 06-2018	RC-NC	by Email	*Circulation of Joint Report of RC-NC to GFC* -- composed of the EXEC and NC membership recommendations to GFC for consideration and approval.
June 13-2018	RC-NC	by Email	Deadline for a GFC member to add an additional (eligible) name to the RC-NC Report of Recommended Nominees for committee appointment.
June-18-2018	GFC	by eVOTE	If an election is triggered, a GFC election period would open shortly following the end of the nomination period.
June-26-2018	GFC		GFC election period closes. Final candidates are declared.
July-1-2018	GFC		**New Term begins** for ALL newly-elected staff representatives to GFC/GFC Committees

Note: NC's "Annual Committee Membership Replenishment Schedule" for the 2018-19 academic year			
April-9-2018	NC	Meeting	Annual Membership Replenishment of **GFC Students** to GFC Committees, Appeal Bodies, Other Committees
May-7-2018	NC	Meeting	Annual Membership Replenishment of **Staff** to GFC Committees, Appeal Bodies, Other Committees (in accordance to new GFC Principles)

Item No. 11.1

Question 11.1 from GFC Member Ryan Dunch (submitted by email March 12, 2018)

Question regarding the Duty to Accommodate and U of A policies

The Duty to Accommodate is an obligation for educational institutions under federal and provincial legislation. The Alberta provisions state that "students who require accommodation should provide enough medical information to facilitate accommodation" (Alberta Human Rights Commission). The point of the provision of medical documentation is to verify that a duty to accommodate exists for this individual.

At the University of Alberta, we require students to apply for provincial and federal grants prior to allowing them to present documentation of their need for accommodation under the Duty to Accommodate (see https://www.ssds.ualberta.ca/en/Students/Register.aspx). That is to say, it seems as if we require students to take an additional step not laid out in the legislation prior to meeting our obligations as an institution under the legislation.

Is the University confident that this requirement does not contravene the federal and provincial relevant legislation (by placing an additional barrier in the way of students seeking accommodation)?

Response 11.1 from the Dean of Students

There is in fact no requirement for students to apply for, or receive funding, before being accommodated. We will ensure that this is clear in our documentation.

Currently, students provide medical documentation of their disability. They then meet or speak with an Accessibility Advisor to review medical and other relevant documentation (such as Individualized Educational Plans, psycho-educational assessments, hospital records, audiologist report, letter from physician, etc.) provided by students. The Accessibility Advisor then discusses possible accommodations with the student and determines what would be appropriate.

If these accommodations can be funded through provincial and/or federal sources, students are asked to complete the required funding applications. Accommodations are put in place for the student immediately, with the understanding that students will complete the funding applications.

Student grant funding helps pay for services used by students. This helps cover the costs of providing services to students with disabilities. This is common practice in post-secondary institutions in Alberta and other jurisdictions.

Granting organizations have firm deadlines in place for application and approval of funding. As previously indicated, Student Accessibility Services works with students to remind them of these deadlines. Students receive as many as three reminders from the Dean of Students Financial unit regarding applying for funding and, usually, this results in a successful outcome. A copy of the form letter is attached to the email reminders. The Accessibility Advisor may also be in communication with the student regarding the status of financial applications.

Item No. 11.1

Students are asked to sign an Agreement to Remit Funds https://cloudfront.ualberta.ca/-/media/ualberta/students/student-accessibility-services/documents/remitfunds.pdf in advance of meeting with an Accessibility Advisor.

Students with documented disabilities who cannot access provincial and/ or federal funds (International students and some students with a temporary disability that potentially may become permanent) are provided accommodation.

Item No. 11.2

Question 11.2 from GFC member Ilya Ushakov regarding budget allocation (received by email April 19, 2018)

To VP Finance and Admin (Gitta): How much of the budget allocated for administration is allocated to senior administration versus faculty and other administrative units on campus (for example, PLLC)?

Response 11.2 from Vice-President (Finance and Administration)

The following analysis provides information and trends of where university dollars are allocated.

Over the last decade, the Faculties of the University have received a 67.2% net increase to budget allocations. Administrative units have received a 39.2% increase to budget allocations. Administrative units include:

- Provost's portfolio (includes IST, Dean of Students, Registrar's Office, UA International, Learning Services and Libraries)

- Research (includes VPR, Research Services Office)

- President's Office (includes Governance, General Counsel)

- Facilities and Operations

- Finance and Administration

- University Relations

- Advancement

For additional national context: National Post-Secondary Context

The following table provides information on the expenditure of U of A operating funds. In addition, the last row provides the total value of non-operating expenditures. These figures are taken from U of A's 2016-17 CAUBO submission, the most recent year for which data is available. PLLC is addressed in response to a separately submitted question.

10.7% of U of A's operating expenditures are on administration and academic support; with approximately equal amounts expended on each category.

CAUBO Category	General Description	U of A Notes	Amount ($thousands)	% of operating expenditures

Instruction and non-sponsored research	Includes all direct costs of faculties, academic departments (including salaries of academic deans and their offices), graduate school, summer school, credit extension, and other academic functions and expenditures attributable to this function.	Relates to all costs associated with academic faculties except for those that have been segregated and allocated to other functions (e.g. student services and external relations).	652,265	55.7%
Non-credit instruction	Lectures, courses and similar activities that are not recognized by the institution for the purpose of granting credit.	Primarily associated with the Faculty of Extension.	18,234	1.6%
Library	Includes the institution's Archives and other activities related to the institution's main, branch and faculty or departmental libraries.	Relates to the all costs associated with the operation of all libraries on campus. This includes the cost of purchasing physical materials as well as the cost of subscriptions for online materials.	48,298	4.1%
Computing	Includes computing activities and resources that have been organized under the management of a central administration. The computing facility is available on an institution wide basis and is the most effective way of providing certain services supportive	Relates to the cost of operating and maintaining all campus wide IT services and infrastructure. This includes all campus wide software licensing, computer labs, wifi access and infrastructure, etc.	58,690	5.0%

	of the institution's research and administrative activities.			
Administration and academic support	The Administration and academic support function in the general operating fund covers expenditures in the two broad areas of academic support and other support services. Other support services include administration.	This includes funds that are expended across the institution but the expenditures are recorded centrally; for example, certain elements of benefit programs.	125,236	10.7%
Student services	The student services function in the General operating fund includes the cost of services (other than direct teaching, research and administrative services) provided to students by the institution.	Relates to the services provided by the Dean of Students as well as those student services embedded within individual faculties. Also includes the cost of scholarships paid to students sourced from operating funds. This category excludes costs associated with the Office of the Registrar, which is included under the administration and academic support category.	71,366	6.1%
Physical plant	The Physical plant function in the General operating fund includes expenditures related to the physical facilities of the institution.	This includes the cost of all renovations and capital improvements campus wide.	159,157	13.6%

Item No. 11.2

External relations	The external relations area includes all activities in support of ongoing external relations.	The costs associated with both the central External Relations and Advancement. This also includes communications / advancement functions embedded within faculties.	37,827	3.2%
Non-operating funds	Includes special purpose and trust, sponsored research, ancillary and capital.		684,832	N/A

Source: U of A 2016-17 CAUBO submission

Question 11.3 from GFC member Ilya Ushakov regarding HEPI and API (received by email April 19, 2018)

To President Turpin: How does the University of Alberta respond to scientific studies debating the merits of the Higher Education Price Index (HEPI), including allegations of misuse of such indexes, used to calculate tuition inflation and also used to formulate the Academic Price Index (API) applied to the international student tuition at this University?

Question **11.3 from GFC member Ilya Ushakov regarding HEPI and API (received by email April 19, 2018)**

To President Turpin: How does the University of Alberta respond to scientific studies debating the merits of the Higher Education Price Index (HEPI), including allegations of misuse of such indexes, used to calculate tuition inflation and also used to formulate the Academic Price Index (API) applied to the international student tuition at this University?

Response **11.3 from President and Vice-Chancellor**

The Higher Education Price Index (HEPI) was created by the US government in 1975 in response to the need to better measure the rate of inflation relevant to colleges and universities which is driven by a different basket of goods than applies to the Consumer Price Index calculation [1]. HEPI is calculated as a weighted average of the main cost drivers for post-secondary institutions which are salaries, benefits, miscellaneous services, supplies and materials and utilities. HEPI has been used extensively by many institutions in the US to manage all aspects of budget planning. The index is currently managed by the Commonfund institute which aggregates data from a broad cross section of US institutions. The 2017 value of the index is 3.7%.[2] The Academic Price Index (API) is modeled closely on HEPI but uses UofA data rather than an average of multiple institutions as Canadian/Alberta data is not generally shared or centrally collected. The 2017/2018 value of API is 3.14%.

The University of Alberta's audited operating expenditures from the previous three years including a weighting of salaries, benefits and non-compensation expenditures are used to make the API calculation. In addition to the student associations agreeing to the calculation formula (in the context of our Mandatory Non-Instructional Fee (MNIF) Oversight structure), the terms of reference for the MNIF Oversight Committee, which include the annual inflation calculation, was approved by the Board of Governors at its meeting of March 18, 2016.

The data used to make the calculation is audited, publicly available and the calculation is presented on an annual basis to the student associations prior to any recommended fee increase going forward to the board.

This approach of using a sector-specific price index is not unique to the post-secondary system. For example, the City of Edmonton maintains its own Municipal Price Index based on its cost drivers. For 2017, the Municipal Price Index was forecast to be 2.25%. [3] Other price indices exist for health care, manufacturing, etc. In all cases, these cost indices provide an estimate of how much revenues must increase to maintain real purchasing power and sustain activities at the current level.

As a very mature tool, there is little ongoing scholarly work on HEPI. One report in 2011 from the Center for College Affordability and Productivity [4] put forth some criticisms of the ways HEPI is sometimes used. These range from technical (how to properly make adjustments between years when comparing the evolution of tuition levels) to philosophical (that using HEPI

to adjust revenues does not drive improvements in efficiencies). These concerns are duly noted and apply to most price indices.

[1] D. Kent Halstead, "Higher Education Prices and Price Indexes", U.S. Office of Education, 1975.
[2] Commonfund Higher Education Price Index, 2017 Update, https://www.commonfund.org/
[3] Municipal Price Index 2017, City of Edmonton, https://www.edmonton.ca/business_economy/documents/MPI_2017.pdf
[4] Andrew Gillen, Jonathan Robe, "Stop Misusing Higher Education-Specific Price Indices", Center for College Affordability and Productivity, 2011, https://files.eric.ed.gov/fulltext/ED536149.pdf

Item No. 11.4

Question 11.4 from GFC member Marina Banister regarding international undergraduate student tuition (received by email April 19, 2018)

To President Turpin:

The University of Calgary has chosen to freeze undergraduate international students' tuition for the coming year. The University of Alberta claims that the government continually gives direction to universities that international students must cover the whole cost of their education. How much does it cost to educate an undergraduate student at the University of Alberta? Further, how much additional does it cost to educate an international undergraduate student? What steps is the senior administration taking to ensure University of Alberta stays competitive, international undergraduate student tuition wise, to its other provincial counterpart the University of Calgary?

Response 11.4 from President and Vice-Chancellor

A precise calculation of the cost to educate a student is very challenging, and varies by undergraduate/graduate, Faculty, and program.

One approach to calculating these costs is to take the Campus Alberta grant plus domestic tuition and divide by total domestic students. Very roughly, this calculation looks like this:
> GoA grant = ~ $650M
> Domestic tuition = ~$190M
> Domestic headcount = ~32,000
> Average cost per student = $26,250 [Note that this blends graduate and undergraduate students]

The University does not track the additional costs for international students, which are built into the budgets of faculties, the Dean of Students, and University of Alberta International. This tracking exercise would be costly and complicated to undertake, with questionable value to the institution.

International students shop the entire globe, so focusing on a single competitor institution oversimplifies. The University of Alberta recruits significantly more international students than the University of Calgary. Amongst the University of Alberta's U15 peer institutions, the U of A international tuition is well below average ($21,010 vs $24,545 for undergraduates and $7,058 vs $14,506 for graduate students.) Canadian international tuition tends to be comparable or lower than that of other English-speaking nations.

Item No. 11.5

Question **11.5 from GFC member Marina Banister regarding the budget (received by email April 19, 2018)**

To President Turpin:

Members of the University of Alberta Students' Union, University of Alberta Graduate Students' Association, Association of Academic Staff University of Alberta, University of Alberta Non-Academic Staff Association, and Postdoctoral Fellows Association have put out statements opposing the University's budget for 2018-19. When can these representative associations expect a formal response from the Office of President to their joint statement?

Response **11.5 from President and Vice-Chancellor**

There have been a number of communications to the community following the provincial budget announcement, related to the University's budget and our interactions with the provincial government. We are awaiting our official budget letter from the Ministry that will outline the details of our provincial funding for 2018/19. Once this is received, any changes in revenue that are different than our assumptions will be dealt with as a budget variance, as per the usual practice, which will be discussed with the Board of Governors. We will continue to keep the community informed via The Quad and regular updates at governance meetings.

Item No. 11.6

Question 11.6 from GFC member Shane Scott regarding remote access to GFC and standing committee meetings (received by email April 19, 2018)

To Chair of GFC,

Given that the Office of University Governance does not provide accommodation to attend GFC and standing committee meetings remotely, several GFC members have been unable to attend critical meetings. What steps is the institution taking to ensure this issue of remote access can be mitigated so that all members of GFC can participate and engage fully with the important deliberations on key issues regardless of their other and conflicting commitments? If not, please justify why the University does not want to increase accessibility.

Response 11.6 from Chair, General Faculties Council; University Secretary; General Faculties Council Secretary

I am very pleased with the commitment that GFC and committee members have shown to academic governance over the past three years. Many changes have been implemented during this time to improve the engagement and contributions of members and, as you see from today's agenda, these improvements continue to happen.

As participation in GFC and standing committees was part of the considerations of the ad hoc Committee on Academic Governance including Delegated Authority, I have asked the University Secretary and the GFC Secretary to respond on my behalf. Their answer is below:

General Faculties Council (GFC) operates under the principle of collegial academic governance including:
• A commitment to inclusive and participatory governance decision-making
• A desire to facilitate meaningful individual-level engagement in governance processes
• A commitment to openness, transparency, and respectful communication
• A commitment to responsiveness, respect, and reciprocity between governing bodies and between governing bodies and university administration

The establishment of an ad hoc Committee on Academic Governance including Delegated Authority in September 2016 spoke to the community's interest in transforming structures and practices to better reflect these principles.

On April 21, 2017, GFC approved 4 guiding documents in support of collegial academic governance
- Principles for Delegation of Authority
- Principles for Standing Committee Composition
- Roles and Responsibilities of Members
- Meeting Procedural Rules for GFC and its standing committees.

These documents speak to the responsibilities of members to attend and participate in meetings of GFC and its standing committees. The procedural rules were drafted to facilitate inclusive and respectful dialogue, while ensuring efficient decision-making.

Item No. 11.6

In joining GFC and its standing committees, members make a commitment be present, prepared, and to participate in GFC and committee discussion and decision making. That said, members will sometimes be unable to attend a meeting due to illness or other commitments.

GFC has in place the following provisions to assist members arrange their availability to participate fully:

- Meeting schedules for GFC and standing committee meetings are published well in advance; these are normally available and posted online at the end of the previous academic year.
- Ex-officio members may appoint delegates to attend meetings in their place.

There have been a number of occasions where special arrangements have been made for members to attend committee meetings via teleconference. These were done on an individual case-by-case basis due to travel issues related to health and weather conditions. This was managed internally and involved standing committees. To extend this to GFC with its 158 members would not contribute to active engagement of remote members in the deliberations at the meeting.

Finally, on a resource basis, to establish a system of remote access for GFC and GFC committee members to participate fully, while not impeding participation of those attending in person, would be cost-prohibitive and cumbersome.

Given the current limitations of the space and IT infrastructure for GFC and GFC committee meetings, providing the resources to enable members to participate fully from remote locations, while not impeding participation of those attending in person, is cost-prohibitive and cumbersome. This does not mean that it will not be revisited in the future when situations change, but in the meantime, in-person attendance at meetings provides for the best forum for the strategic discussions and decision making of GFC and its committees.

Item No. 11.7

Question 11.7 from GFC member Shane Scott regarding support for the Peter Lougheed Leadership College (PLLC) (received by email April 19, 2018)

To the Provost and Vice President (Academic),

Several media outlets have reported that the University of Alberta will "find" $9 Million in its central operating budget to continue to support the Peter Lougheed Leadership College (PLLC) following temporary provincial funding withdrawal. What is the specific source of this $9 million funding directed to an administrative unit, such as PLLC? What cost-benefit analysis and assumptions support this investment in an administrative unit of the university given the proposed budget reductions directed toward academic units (such as faculties) that fulfil the University's core academic mission?

Response 11.7 from Provost and Vice-President (Academic)

Thank you for the opportunity to provide clarification around the government funding hiatus. The cash flow for PLLC has been structured such that, if the government funding resumes after the three-year funding hiatus - as per the government grant - there would be no need to access the university's operating funding to maintain PLLC programming. If, however, the government funding does not continue from 2020 onward, PLLC's accumulated deficit, the payments for capital, and any continued programming costs would need to be supported through operating funding.

Item No. 12

General Faculties Council Standing Committee Report

GFC Executive Committee

1.   Since the last GFC meeting, the Executive Committee met on April 9, 2018.

2.   Items Approved Under Delegated Authority

Proposed Changes to Composition of Faculty Council, Faculty of Medicine and Dentistry

Proposed Centre collegial de l'Alberta entry to be added to the University Calendar

Proposed New Course Designators of AUFAR (Augustana Fine Arts), AUHUM (Augustana Humanities), AUSCI (Augustana Science) and AUSSC (Augustana Social Sciences) in Augustana Faculty

Re-appointment of Professor Steven Penney as Chair of the GFC Student Conduct Policy Committee (SCPC)

Agenda for the April 30, 2018 Meeting of General Faculties Council

3.   Items Recommended to GFC

Terms of Reference for a new free-standing GFC Nominating Committee and disbandment of the GFC Replenishment Committee

4.   Items that the Committee Discussed or Advised on

University of Alberta response to the Truth and Reconciliation Commission

Transparent Governance Project

Bill 27: Conflicts of Interest Amendment Act – Updated Draft Employee Code of Conduct

Terms of reference and records of meetings for this committee can be found at:
https://www.ualberta.ca/governance/member-zone/gfc-standing-committees#GFC_EXEC

Submitted by:
David Turpin, Chair
Executive Committee

Item No. 13

General Faculties Council Standing Committee Report

GFC Academic Planning Committee

1. Since last reporting to GFC, the Academic Planning Committee met on March 14 and April 18, 2018.

2. Actions Taken with Delegated Authority from GFC

    March 14

    Approved: Proposal from the Faculty of Graduate Studies and Research for a new course-based Master of Arts in Policy Studies in the Department of Political Science

    Approved: Proposal from the Faculty of Graduate Studies & Research for a new combined Master of Business Administration/Doctor of Pharmacy (MBA/PharmD) program, the Faculty of Business and the Faculty of Pharmacy and Pharmaceutical Sciences

    Approved: Proposed Name Change of the Master of Arts program in Humanities Computing to Digital Humanities

    Recommended to the Board of Governors: Proposal from the Faculty of Graduate Studies and Research to terminate the Post Graduate Diploma in Health Promotion

    Recommended to the Board of Governors: Amendment to the Augustana Campus Long Range Development Plan

    April 18

    Recommended to the Board of Governors: Proposal from the Faculty of Graduate Studies & Research for a New Post-Baccalaureate Certificate in Sport and Recreation Management, Faculty of Kinesiology, Sport, and Recreation

    Recommended to GFC: Proposal for the Termination of the Bachelor of Arts and Bachelor of Arts (Honors) in: Italian Studies; Russian Language and Literature; Ukrainian Folklore; Ukrainian Language and Literature; French and Italian; German and Scandinavian; Italian and Spanish; Russian and Ukrainian, Faculty of Arts

    Recommended to GFC: Proposal for the Termination of the Bachelor of Arts Individualized Major and Minor, Faculty of Arts

    Recommended to GFC: Proposal for the Termination of the Bachelor of Arts, Bachelor of Arts (Honors), and the Certificate in Middle Eastern and African Studies (MEAS), Faculty of Arts

    Recommended to GFC: Proposal for the Termination of the Bachelor of Music routes of Music History, School Music, and World Music, Faculty of Arts

3. Items Discussed

    March 14

    Budget Update

UNIVERSITY OF ALBERTA UNIVERSITY GOVERNANCE	**GENERAL FACULTIES COUNCIL** For the Meeting of April 30, 2018

Item No. 13

April 18

Graduate Student Enrolment Report 2017-18

Centres and Institutes Committee (CIC) Annual Report 2016-2017

Budget Update

Terms of reference and records of meetings for this committee can be found at:
https://www.ualberta.ca/governance/member-zone/gfc-standing-committees#GFC_APC

Submitted by:
Steven Dew
Chair, GFC Academic Planning Committee

Item No. 14

<u>General Faculties Council Standing Committee Report</u>

GFC Academic Standards Committee

1. Since last reporting to GFC, the Academic Standards Committee met on March 15 and April 19, 2018.

2. <u>Actions Taken with Delegated Authority from GFC</u>

   March 15

   Approved: Proposed Changes to Existing Admission Requirements for the Bachelor of Commerce (BCom), Faculty of Business

   Recommended to GFC Academic Planning Committee: Approval of a New Post-Baccalaureate Certificate in Sport and Recreation Management in the Faculty of Kinesiology, Sport, and Recreation, proposed by the Faculty of Graduate Studies and Research

   April 19

   Approved: Transfer Credit for April 2018, Office of the Registrar

   Approved: Proposed Changes to University Calendar for Admission Charts 4 (IB Courses for Advanced Standing) and 5 (AP Courses for Advanced Standing)

   Approved: Changes to Admission/Transfer and Academic Standing for the Bachelor of Arts in Criminology, proposed by the Faculty of Arts

   Approved: Proposal for addition of deadlines for part-time graduate students for the Professional Development Requirement policy, Faculty of Graduate Studies and Research

   Approved: Proposal for addition of deadlines for part-time graduate students for the Professional Development Requirement policy, Faculty of Graduate Studies and Research

3. <u>Items Discussed</u>

   March 15

   External Programs for Review and Programs in Progress on Campus: Standing Item

   April 19

   Checklist for Calendar Entries for Graduate Programs, Faculty of Graduate Studies and Research

   External Programs for Review and Programs in Progress on Campus: Standing Item

Terms of reference and records of meetings for this committee can be found at:
https://www.ualberta.ca/governance/member-zone/gfc-standing-committees#GFC_ASC

Submitted by:
Tammy Hopper
Chair, GFC Academic Standards Committee

Item No. 15

General Faculties Council Standing Committee Report

GFC Undergraduate Awards and Scholarship Committee (UASC)

1. During the 2017/18 academic year, UASC met 7 times; the Committee is also scheduled to meet on May 8 and June 19, 2018.

2. Items Approved Under Delegated Authority

    New Undergraduate Financial Supports: Total New Financial Supports Approved = 72
    Type of Funding
    - Annually Funded = 29 (40%)
    - Endowments = 43 (60%)
    Type of Support
    - Award = 24 (33%)
    - Bursary = 22 (31%)
    - Scholarship = 25 (35%)
    - Award/Scholarship (Athletics) = 1 (1%)

    Amended Undergraduate Financial Supports: Total Amendments Approved = 25
    Type of Funding
    - Annually Funded = 11 (44%)
    - Endowments = 14 (56%)
    Type of Financial Support:
    - Scholarship = 11 (44%)
    - Bursary = 3 (12%)
    - Award = 8 (32%)
    - Prize = 3 (12%)

3. Items that the Committee Discussed

    Procedures:
    - Monitor alignment of scholarships, awards and bursaries with institutional priorities as per For the Public Good and the Financial Five
    - Work towards providing clarity in wording of new and existing scholarships, awards and bursaries so that student interest and utilization is maximized
    - Participate in rigorous orientation activities that equip members with information to better make decisions about undergraduate financial support at the University of Alberta

    Trends:
    - Hybrid supports (combine merit and need based components)
    - STEM program supports
    - Increase in financial need based supports
    - Experiential learning supports
    - Gender based terminology

Goals:

- Review, discuss and revise committee terms of reference as per the ad hoc recommendations and based on committee needs
- Review, discuss and recommend revisions to related UAPPOL policy and procedures to reflect committee and institutional practices
- Continue to orient new and existing members to meet mandate
- Seek expert advice from community when necessary (terminology etc.)
- Maintain a clear focus on student support, diversity and inclusivity
- Identify gaps in funding across campus and make recommendations to address same

Terms of reference and records of meetings for this committee can be found at:
https://www.ualberta.ca/governance/member-zone/gfc-standing-committees#GFC_UASC

Submitted by:
Amy Tse
Chair, GFC Undergraduate Awards and Scholarship Committee

Item No. 16

<u>General Faculties Council Standing Committee Report</u>

GFC University Teaching Awards Committee

1.   In 2017/18, the University Teaching Awards Committee met on March 2, April 6, and April 27, 2018.

2.   <u>Items Approved Under Delegated Authority</u> – The committee adjudicated the following awards.

2018 Rutherford Award for Excellence in Undergraduate Teaching:
    Vincent Bouchard, Faculty of Science
    Jana Grekul, Faculty of Arts
    Ashwin Iyer, Faculty of Engineering
    Angela Schroeder, Faculty of Arts

2018 William Hardy Alexander Award for Excellence in Undergraduate Teaching:
    René Belland, Faculty of Agricultural, Life and Environmental Sciences
    Laura Schechter, Faculty of Arts
    David Vergote, Campus Saint-Jean

2018 Provost's Award for Early Achievement of Excellence in Undergraduate Teaching:
    Carlos Cruz-Noguez, Faculty of Engineering
    Natalie Van Deusen, Faculty of Arts

2018 Teaching Unit Award:
    Mountain Studies
    Faculty of Kinesiology, Sport, and Recreation

2018 Award for Excellence in Graduate Teaching:
    Catherine Adams, Faculty of Education
    Valentina Galvani, Faculty of Arts
    Leonard Ratzlaff, Faculty of Arts

Terms of reference and records of meetings for this committee can be found at:
https://www.ualberta.ca/governance/member-zone/gfc-standing-committees#GFC_UTAC

Submitted by:
Pierre Lemelin, Chair
GFC University Teaching Awards Committee

UNIVERSITY OF ALBERTA
UNIVERSITY GOVERNANCE

BOARD OF GOVERNORS
REPORT TO GENERAL FACULTIES COUNCIL

FOR THE GFC MEETING OF APRIL 30, 2018

Item No. 18

I am pleased to report on the following highlights of the Board of Governors' Open Session meeting held on March 16, 2018:

REPORT OF THE PRESIDENT

The President provided a written report on his activities since December 15, 2017, including updates on the five strategic goals of *For the Public Good*: build; experience; excel; engage; and sustain. In addition to his written report, Dr Turpin provided verbal remarks on: the federal government's announcement of research funding in line with recommendations from the report of Canada's Fundamental Science Review (commonly known as the Naylor Report); the impending announcement of the provincial government's budget and potential implications for the university; the search for the next principal of the Peter Lougheed College; and the positive feedback from the joint Board/General Faculties Council/Senate Summit. At his request, Vice-President (University Relations) Jacqui Tam briefed the Board on recent media attention of a now-removed website for a fake university that used information from the University of Alberta's website with the apparent intention of legitimizing a predatory journal enterprise.

DISCUSSION ITEMS

The Board discussed:
- the efforts of the Cannabis Working Group, with André Costopoulos and Kevin Friese from the Office of the Dean of Students, and Philip Stack and Andrew Leitch from Risk Management Services. The board received a brief overview of the progress to date and the consultation the group has undertaken, and provided feedback on potential policies, occupational health considerations, and revenue generating opportunities;
- the University of Alberta's actions to comply with *Bill 27: Conflicts of Interest Amendment Act*, with Brad Hamdon, General Counsel, briefing the Board on two significant changes that apply to the university: a stand-alone code of conduct for the Board of Governors and all employees, currently in development and due to the government of Alberta for feedback on April 30; and the annual disclosure of financial information by senior officials;
- the recent review by the Board Working Group of board committee's terms of reference; and
- the development of the *Governance Executive Summary* template toward the Board's objectives to achieve governance excellence.

BOARD OF GOVERNORS' MOTION SUMMARY

The Board received presentations from:
- Dr Steven Dew, Provost and Vice-President (Academic), Ms Gitta Kulczycki, Vice-President (Finance and Administration) and Mr Andrew Sharman, Vice-President (Facilities and Operations) on the University of Alberta's budget and capital plan in preparation for a series of motions before the Board on tuition, fees, and residence and meal rates;
- Mr Babak Soltannia, Graduate Students' Association (GSA) President, on the GSA's position on tuition; and
- Mr Robyn Paches and Mr Ilya Ushakov, Students' Union (SU) executive members, on the SU's position on tuition, residence and meal plan rate increases.

On the recommendation of the Finance and Property Committee and General Faculties Council Academic Planning Committee, the Board of Governors approved:
- proposed new Mandatory Student Instructional Support Fees; proposed changes to existing Mandatory Student Instructional Fees; and the proposed deletion of Mandatory Student Instructional Support Fee, as submitted on behalf of the relevant Faculties/Departments by the Registrar's Advisory Committee on Fees (RACF);
- that tuition governed by the tuition fee regulation for 2018-19 be set at the 2014-15 rates, as directed by the Government of Alberta;
- an increase of 3.14% to international tuition fees for 2018-19 as outlined in the proposal;
- the 2018-19 Consolidated Budget and Capital Plan as set forth in the proposal.

On the recommendation of the Finance and Property Committee, the Board of Governors approved:

- that mandatory non-instructional fees for 2018-19 be set at the 2014-15 rates, as directed by the Government of Alberta;
- a 4 percent across-the-board increase in residence rates for 2018-19;
- meal rates for 2018-19 as illustrated in the proposal.

On the recommendation of the Board Chair, Mr Michael Phair, the Board of Governors approved adjustments to current Board Committee memberships to reflect recent Board membership changes.

INFORMATION REPORTS

- Report of the Audit Committee
  - Update on Risk-Based Internal Audit Plan
  - Management's Quarterly Compliance Certificate
  - Management's Quarterly Information and Privacy Office Compliance Certificate
  - Learning Moment: Labour Negotiations
  - Management's Quarterly Financial Statements and Review (including current accounting and financial reporting issues)
  - Pro Forma Financial Statements
  - Institutional Risk Summary Update
  - Board Working Group Discussion on Committee Terms of Reference

- Report of the Finance and Property Committee
  - Faculty, Staff, Student and Visitor Parking Rates for 2018-2019
  - Project Management Office - Quarterly Status Report (3rd Quarter 2017-2018 – 01 October to 31 December, 2017)
  - Land Inventory Update
  - Appointment of Dr David Cooper as Committee Vice-Chair
  - Presentation on the University of Alberta's Budget and Capital Plan
  - Housing for Students Who Parent
  - Quarterly Financial Review
  - Board Working Group Discussion on Committee Terms of Reference

- Report of the Human Resources and Compensation Committee
  - Position Description, Dean, Faculté Saint-Jean and Executive Officer, Campus Saint-Jean
  - Board Working Group Discussion on Committee Terms of Reference

- Report of the Investment Committee
  - Portfolio Performance & Compliance – December 31, 2017
  - National Association of College and University Business Officers (NACUBO) – Commonfund Study of Endowments
  - Statement of Investment Principles and Beliefs – Annual Review
  - Unitized Endowment Pool (UEP) and National Entrepreneurship and Innovation Plan (NEIP) – Investment Proposals
  - UEP Growth – Private Equity Strategy Progress Report
  - UEP Inflation Sensitive – Commodities Search Progress Report
  - NEIP Yield – Strategy Progress Report
  - Responsible Investment Update
  - Board Working Group: Discussion on Committee Terms of Reference
  - Committee Skills Matrix & Future Member Recruitment

- Report of the Learning and Discovery Committee
  - Board Working Group Discussion on Committee Terms of Reference

- Report of the Safety, Health and Environment Committee
  - Dashboard Review
  - Strategic Initiative: Develop an EHS Client Outreach Strategy

- o Strategic Initiative: Mental Health and Wellness Strategic Plan and Healthy Campus Strategy
- o Memo from the Associate Vice-President (Risk Management Services) and the Associate Vice-President (Operations and Maintenance)
- o Memo from the Vice-Provost and Dean of Students
- o Fourth Quarter Health and Safety Indicator Report
- o Safety Moment: Management of Change with Technology Overload
- o Helping Individuals at Risk (HIAR) Report and Safe Disclosure and Human Rights Report
- o Implementation of the Sexual Violence Report Recommendations
- o Implications of Bill 30 "An Act to Protect the Health and Well-being of Working Albertans"
- o Board Working Group Discussion on Committee Terms of Reference

- Report of the University Relations Committee
  - o Learning Moment: Campaign 101
  - o Senate Update
  - o Board Working Group: Discussion on Committee Terms of Reference

The Board also received reports from the Chancellor, Alumni Association, Students' Union, Graduate Students' Association, Association of Academic Staff of the University of Alberta, Non-Academic Staff Association, General Faculties Council, and the Board Chair.

Prepared for: Katherine Binhammer, GFC Representative on the Board of Governors
By: Erin Plume, Assistant Board Secretary

Please note: official minutes from the open session of the March 16, 2018 Board of Governors' meeting will be posted on the University Governance website once approved by the Board at its May 11, 2018 meeting: www.governance.ualberta.ca/BoardofGovernors/Board/BoardMinutes.aspx.

UNIVERSITY OF ALBERTA
UNIVERSITY GOVERNANCE

Item No. 19

OUTLINE OF ISSUE
Advice, Discussion, Information Item

Agenda Title: **Graduate Student Enrolment Report 2017-18**

Item

Proposed by	Heather Zwicker, Vice-Provost and Dean, FGSR
Presenter	Heather Zwicker, Vice-Provost and Dean, FGSR
	Debby Burshtyn, Vice Dean, FGSR

Details

Responsibility	Provost and Vice-President (Academic)
The Purpose of the item is (please be specific)	To discuss the 2017-18 report on graduate enrolment. Provides the institution with graduate enrolment information for awareness and to aid in future planning.
Timeline/Implementation Date	N/A
Supplementary Notes and context	

Engagement and Routing (Include meeting dates)

Participation: (parties who have seen the proposal and in what capacity) <For further information see the link posted on the [Governance Toolkit section Student Participation Protocol](#)>	GFC Executive Committee – February 12, 2018 (for information) Faculty of Graduate Studies & Research Council – February 14, 2018 Vice Provosts Council – February 12, 2018 GFC Academic Planning Committee - February 14, 2018 President's Executive Committee - Operations – February 9, 2018 General Faculties Council – April 30, 2018 (for information) Deans' Council – February 7, 2018 Board Learning and Discovery Committee – March 2, 2018 Board of Governors – (for information) President's Advisory Committee of Chairs – March 27, 2018

Alignment/Compliance

Alignment with Guiding Documents	Institutional Strategic Plan - *For the Public Good*, **BUILD** a diverse, inclusive community of exceptional students, faculty and staff from Alberta, Canada, and the world. **SUSTAIN** our people, our work, and the environment by attracting and stewarding the resources we need to deliver excellence to the benefit of all Albertans. and Comprehensive Institutional Plan
Compliance with Legislation, Policy and/or Procedure Relevant to the Proposal (please quote legislation and include identifying section numbers)	1. ***Post-Secondary Learning Act (PSLA)***: The PSLA gives GFC responsibility, subject to the authority of the Board of Governors, over academic affairs. 2. ***General Faculties Council***: "[…] The issues which remain with GFC or which would be referred by a Standing Committee to GFC would generally be in the nature of the following: • high level strategic and stewardship policy issues or matters of significant risk to the University;[…]" GFC has powers under the PSLA to

"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 […][PSLA Section 26(1)(o)]" and to "determine standards and policies respective the admission of persons to the university as students[.][PSLA Section 26(1)(n)]"

3. *GFC Executive Committee* Terms of Reference
"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."

4. GFC Academic Planning Committee:
"APC is responsible for making recommendations to GFC and/or to the Board of Governors concerning policy matters and action matters with respect to the following: […]
3. Enrollment and Planning
a.   To recommend to GFC on University-wise enrolment targets for undergraduate and graduate students.
b.   To recommend to GFC on enrollment management processes, including the establishment of new quotas for individual Faculties and programs. […]"

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

Without limiting the generality of the foregoing the Committee shall:
a. receive and approve initiatives related to the overall academic mission and related plans and policies of the University; […]
d. review and approve the establishment, modification and removal of enrolment quotas and annually review such quotas[.][…]"

Attachments (each to be numbered 1 - <>)

1. Attachment 1: Graduate Student Enrolment Report 2017-18

Prepared by: Heather Zwicker, Vice-Provost and Dean, Faculty of Graduate Studies and Research, hzwicker@ualberta.ca

UNIVERSITY OF ALBERTA
FACULTY OF GRADUATE STUDIES & RESEARCH

Graduate Student Enrolment Report
2017-18

January 2018

Message from the Vice-Provost and Dean, Faculty of Graduate Studies and Research (FGSR)

It is a pleasure to present the third annual report on graduate enrolment at the University of Alberta from the Faculty of Graduate Studies and Research (FGSR). This report provides a snapshot view of graduate education at the university and highlights the diversity of disciplines and specializations that we offer.

Overall, total applications are up from 9,700 in 2016-17 to an estimated 14,500 in 2017-18, an increase of nearly 50%. While there is no question that interest in our graduate programs is growing, applicant numbers must be interpreted with caution.

One important factor is the new graduate admissions system implemented in October 2017 as part of the Graduate Studies Management Solution (GSMS). The new system has eliminated the practice adopted by some departments of pre-screening applications. Because we now process more applicants within the shared system, there has been a marked increase in observable applications, particularly international applications, to certain departments.

Another important insight is that the increase in total applications is primarily driven by a large increase in applications to course-based Master's programs. The University of Alberta now has nearly 30% more course-based Master's students than we had a decade ago. Of particular note, the Faculty of Engineering reopened enrolment to course-based Master of Engineering programs for Fall 2017, attracting nearly 2,000 applicants.

Eliminating applications that can be directly attributed to the migration to GSMS and the reopening of the Master of Engineering programs, overall applications for Fall 2017 were up by approximately 15%. Using the same method, international applications increased by 38%. This is in line with what our CALDO counterparts have been reporting for the same period.

Looking ahead, we know that global conditions will continue to affect applicant behaviour and graduate enrolment. The current climate around immigration makes Canada an attractive option for many international graduate students. We've already had experience with this change in the geopolitical environment. Last March, FGSR waived graduate application fees for applicants from the seven countries affected by the US travel ban to support students whose plans were disrupted by a change in US visa policies in the middle of the application cycle. Similarly, Brexit might also make British graduate programs more expensive for, or inaccessible to, international students. Australia has tightened rules for temporary workers that may make the country less attractive to international students who plan to work in Australia after graduating.

Local factors will also affect graduate applications and enrolments. One significant factor in students' decisions about where to go for graduate school is funding packages. Minimum funding guarantees are under discussion at the University of Alberta as they are across the U15. In the fall of 2017, FGSR surveyed our primary graduate contacts and found that of the 64 PhD programs responding, 35 guarantee funding. This information is serving as a springboard for discussions on financial impact (overall impact may be small, but timing may be poor), recruitment (funding guarantees make a difference to students as they choose a place to study), and completion times (likely not a silver bullet, but consistent funding should impact some of the factors behind attrition).

FGSR is also concerned with what happens as our graduates move beyond their degrees. We are working diligently on a number of fronts to ensure graduate students acquire marketable and relevant professional skills. Attainment of graduate degrees and employability of those with advanced degrees is a concern across the country. The Conference Board of Canada has consistently given Canada a 'D' grade for its relatively low levels of PhD graduates in comparison to OECD countries*. PhDs are critical in supporting a national and provincial innovation ecosystem, as well as fueling social and economic prosperity, and it is important that these graduates are ready and able to contribute to the economy in Alberta and in Canada.

FGSR is taking an evidence-based approach to demonstrating the value of a PhD across multiple employment and social sectors. The PhDiversification project, launched in 2016 with funding from the Government of Alberta, uses Lean Six Sigma principles to visualize the current employability process for PhDs with the intent of focusing our energies on how we can improve employability outcomes for our students. This will give the University of Alberta the opportunity to set ourselves apart from our Canadian peers by establishing a strategy that supports our doctoral students' transition from degree to broader career paths outside academia.

FGSR welcomes the opportunity to be a key partner in strategic enrolment management and presents this report with great pride in our students, our supervisors and our departmental partners. I appreciate the contributions of Gurpinder Gandhara, Cristiana Caramihai, Denise Giles, Ramona Czakert, Connie Bryson and Amy Dambrowitz.

I look forward to the conversations this report will spark.

Heather Zwicker, PhD

Vice-Provost and Dean, Faculty of Graduate Studies and Research

January 2018

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*as reported in "PhD Graduates," How Canada Performs, 2013: http://www.conferenceboard.ca/hcp/provincial/education/phd.aspx

Graduate Students at a Glance

20% OF UNIVERSITY OF ALBERTA STUDENTS ARE GRADUATE STUDENTS

Age
21-25	32.2%
26-30	33.8%
31-35	17.3%
36-40	7.5%
41-45	4.3%
45 +	4.8%

2763 PHDS
2133 MASTER'S THESIS-BASED
2582 MASTER'S COURSE-BASED

192 (2.5%) SELF-IDENTIFY AS FIRST NATIONS, METIS, INUIT

2071 GRADUATE DEGREES AWARDED IN 2017 INCLUDING **436** PHDS

34% ARE INTERNATIONAL STUDENTS

7668 GRADUATE STUDENTS WORK IN **300** RESEARCH AREAS WITH **250** OFFICIAL SPECIALIZATIONS

25% SELF-IDENTIFY AS PARENTS
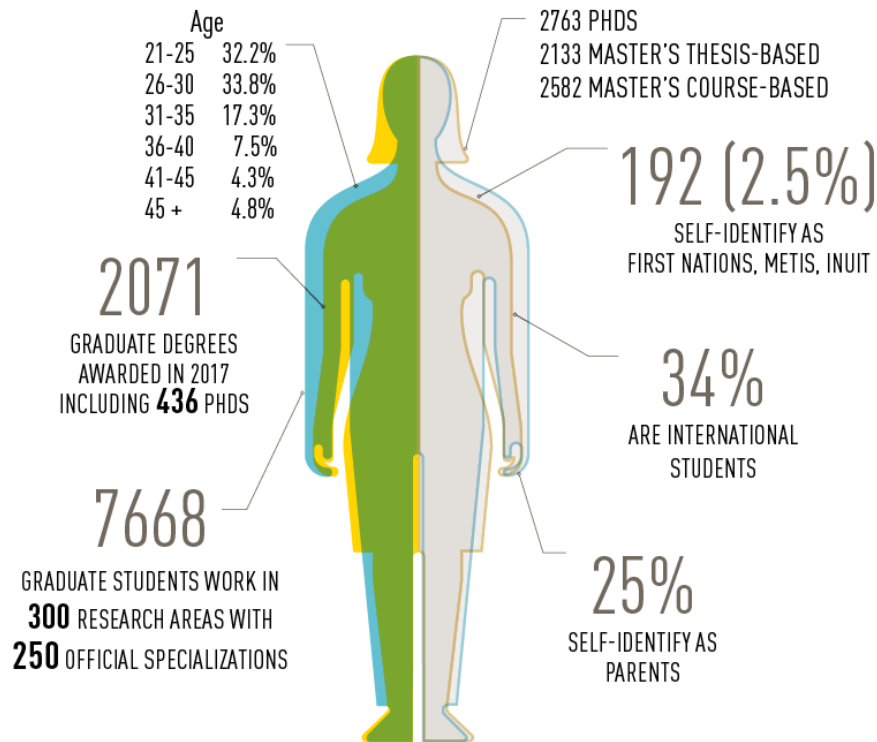
AVERAGE COMPLETION TIMES BY DEGREE

Domestic	International
2.6 years MASTER'S COURSE-BASED	**1.7** years MASTER'S COURSE-BASED
3.0 years MASTER'S THESIS-BASED	**2.7** years MASTER'S THESIS-BASED
6.2 years DOCTORAL	**5.1** years DOCTORAL

INCREASE IN APPLICATIONS (FALL 2017)

International
38%

Overall
15%
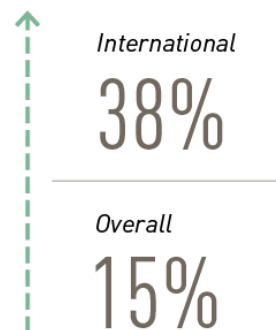
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Table and Figure Index

1. Enrolment

This section presents enrolment numbers based on the standard December 1 headcounts, as reported to Statistics Canada and the Government of Alberta. Enrolment is a point-in-time snapshot and the December headcounts capture fall term registrations only. As a result, enrolment reported here does not reflect the total number of graduate students who have been on campus at various points during the year.

Variation in graduate enrolment from one academic year to the next is due to three independent factors (new registrations, convocation, and attrition) and is best considered in reference to all three.

1.1. Graduate Enrolment by Degree Type

Overall graduate enrolment has risen, but as the following tables and figures demonstrate, the changes are not uniform. Doctoral enrolments are somewhat higher, and certificate programs have risen considerably. Enrolment in course-based Master's programs has risen consistently over this period, with a notable increase over the past two years.

Table 1.1. Graduate enrolment by degree type.

Degree	Fall 2008	Fall 2009	Fall 2010	Fall 2011	Fall 2012	Fall 2013	Fall 2014	Fall 2015	Fall 2016	Fall 2017
PhD	2,585	2,794	2,907	2,952	3,069	3,020	2,975	2,777	2,732	2,763
Thesis - based Master's	2,044	2,128	2,183	2,200	2,207	2,217	2,128	1,966	2,051	2,133
Course - based Master's	1,990	2,124	2,167	2,242	2,197	2,272	2,329	2,325	2,498	2,682
Other	76	105	89	80	125	155	140	136	177	190
Total	6,695	7,151	7,346	7,474	7,598	7,664	7,572	7,204	7,458	7,668

Source: Strategic Analysis and Data Warehousing – accessed December 7, 2017.
Notes: 1) Other = students in post Master's and post-baccalaureate certificates, postgraduate diplomas, qualifying, special graduate, visiting and probationary students; 2) Students who have FGSR listed as their department are included.
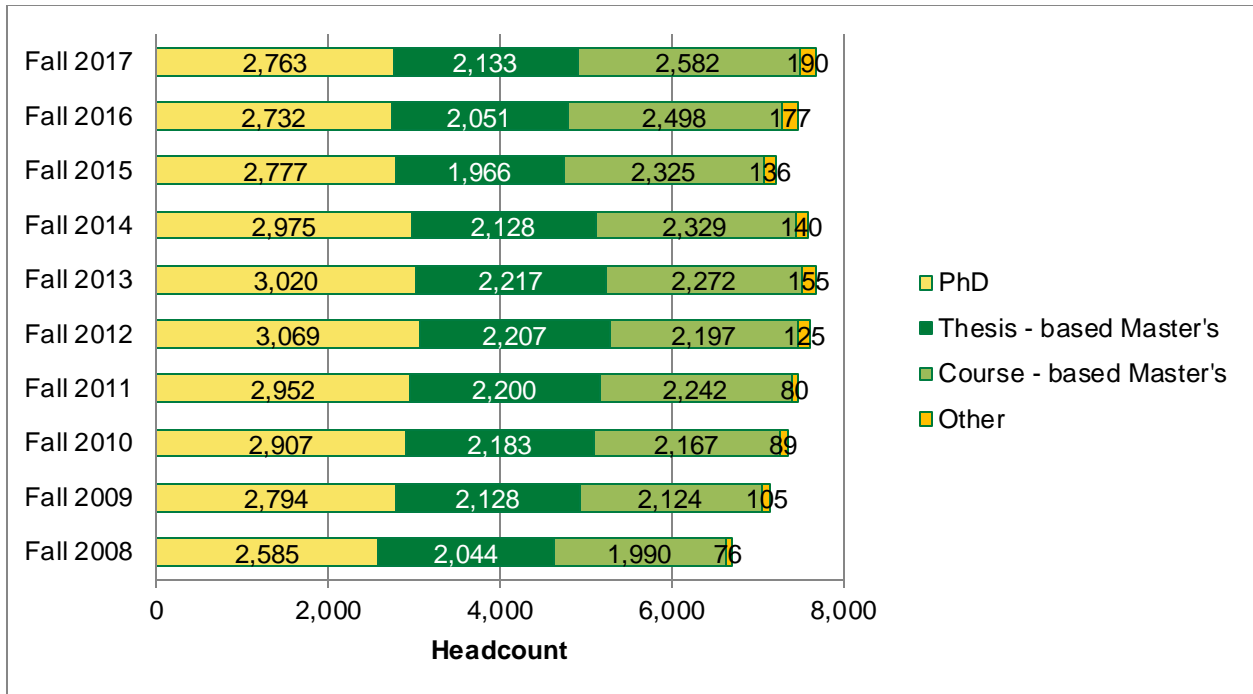
Figure 1.1. Graduate enrolment by degree type.
Source: Strategic Analysis and Data Warehousing – accessed December 7, 2017.
Notes: 1) Other = students in post Master's and post-baccalaureate certificates, postgraduate diplomas, qualifying, special graduate, visiting and probationary students; 2) Students who have FGSR listed as their department are included.
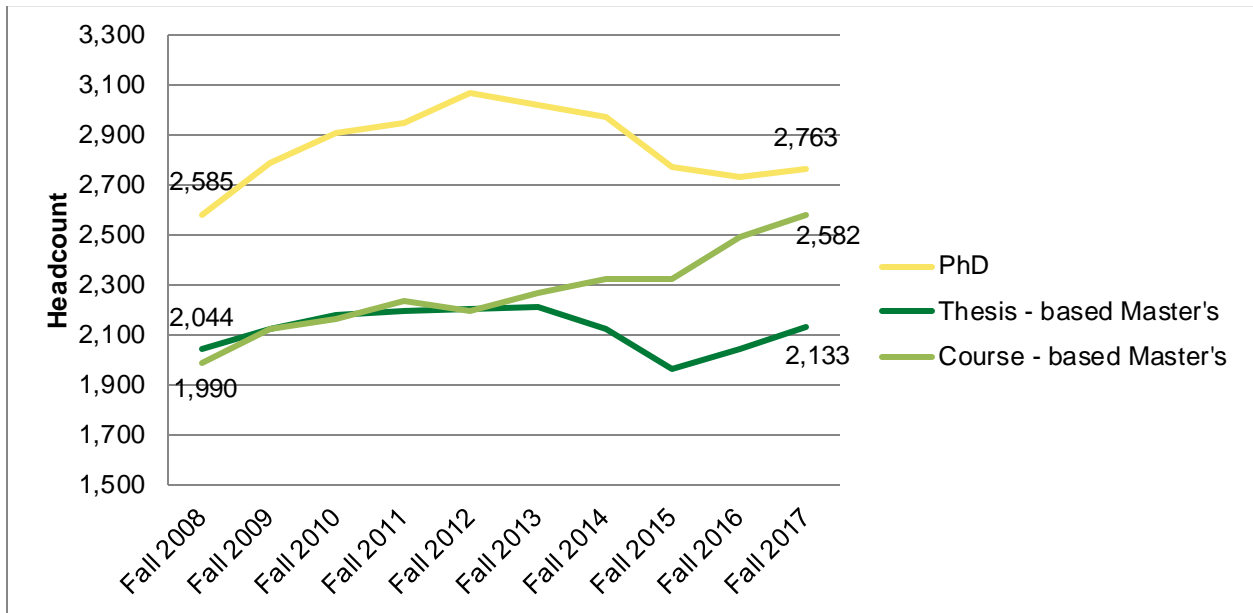
 Figure 1.2. Trends in graduate enrolment by degree type.
Source: Strategic Analysis and Data Warehousing – accessed December 7, 2017.
Note: Students who have FGSR listed as their department are included.

Fall term enrolment headcounts by Faculty are shown in Tables 1.2-1.5. We are particularly proud to welcome the five students registered in our innovative condensed PhD in Indigenous Studies, offered for the first time this fall in the Faculty of Native Studies.

Reviewing the data by Faculty reveals that recent declines in PhD numbers are concentrated in Arts, Science, Business and Education (Table 1.2).

Table 1.2. Doctoral degree, fall headcount by Faculty.

Faculty	Fall 2013	Fall 2014	Fall 2015	Fall 2016	Fall 2017
ALES	235	237	230	221	220
Arts	478	452	413	412	394
Business	61	51	45	46	49
Education	291	295	257	246	255
Engineering	702	711	678	679	709
Extension					
Faculté Saint-Jean					
Faculty of Native Studies					5
Kinesiology, Sport, and Rec.	65	55	56	49	58
Law	8	7	7	8	7
Medicine and Dentistry	316	340	342	329	308
Nursing	65	68	64	68	66
Pharmacy	33	32	32	28	23
Public Health	42	45	50	47	57
Rehabilitation Medicine	38	36	37	35	45
Science	686	646	566	564	567
Total	3,020	2,975	2,777	2,732	2,763

Source: Strategic Analysis and Data Warehousing – accessed December 7, 2017.

Over the same time period, there has been a consistent growth in course-based Master's programs (Table 1.3) as a result of a growing interest in professional Master's degrees, including the course-based Master of Engineering programs in the Faculty of Engineering (which were reopened for Fall 2017 admissions) and the course-based programs in the Faculty of Rehabilitation Medicine.

Table 1.3. Master's degree, fall headcount by Faculty.

Faculty	Fall 2013			Fall 2014			Fall 2015			Fall 2016			Fall 2017		
	M-T	M-C	Total	M-T	M-C	Total	M-T	M-C	Total	M-T	M-C	Total	M-T	M-C	Total
ALES	258	26	284	261	21	282	244	22	266	255	35	290	254	39	293
Arts	311	97	408	269	90	359	240	81	321	255	87	342	258	67	325
Business		499	499	1	543	544		558	558		556	556	0	572	572
Education	85	496	581	80	546	626	70	567	637	70	576	646	65	529	594
Engineering	566	148	714	545	93	638	527	36	563	544	111	655	557	235	792
Extension	2	49	51	1	54	55		54	54	8	52	60	15	39	54
Faculté Saint-Jean	16	24	40	13	16	29	8	20	28	5	13	18	10	18	28
Faculty of Native Studies	10		10	7		7	12		12	20		20	12		12
Kinesiology, Sport, and Rec.	57	16	73	49	18	67	44	18	62	41	15	56	41	17	58
Law	6	2	8	4		4	5		5	5	1	6	4		4
Medicine and Dentistry	265	2	267	281		281	260	2	262	277	4	281	296	4	300
Nursing	33	43	76	29	47	76	20	45	65	18	36	54	18	32	50
Pharmacy	13		13	17		17	18		18	22		22	20		20
Public Health	99	146	245	100	144	244	80	131	211	71	120	191	68	119	187
Rehabilitation Medicine	41	633	674	39	667	706	48	680	728	49	779	828	51	787	838
Science	455	91	546	432	90	522	390	111	501	411	113	524	464	124	588
Total	2,217	2,272	4,489	2,128	2,329	4,457	1,966	2,325	4,291	2,051	2,498	4,549	2,133	2,582	4,715

Source: Strategic Analysis and Data Warehousing – accessed December 7, 2017.
Note: M-T = thesis-based Master's, M-C = course-based Master's;

Enrolment in certificate programs (post-Master's and post-baccalaureate certificates and postgraduate diplomas) remains small, but has been growing consistently since 2014 (Table 1.4 and Figure 1.3). Notably, 2017 was the first year that the certificate in Indigenous Sport and Recreation was offered by the Faculty of Kinesiology, Sport, and Recreation (formerly the Faculty of Physical Education and Recreation). These programs are of interest to professionals looking to upgrade their skills, and similar programs might offer future possibilities for laddering into degrees.

Table 1.4. Certificate programs, fall headcount by Faculty.

Faculty	Fall 2013	Fall 2014	Fall 2015	Fall 2016	Fall 2017
Business				1	2
Education		1	1		
Kinesiology, Sport, and Rec.					17
Public Health	1				
Rehabilitation Medicine	49	22	49	68	104
Total	50	23	50	69	123

Source: Strategic Analysis and Data Warehousing – accessed December 7, 2017.
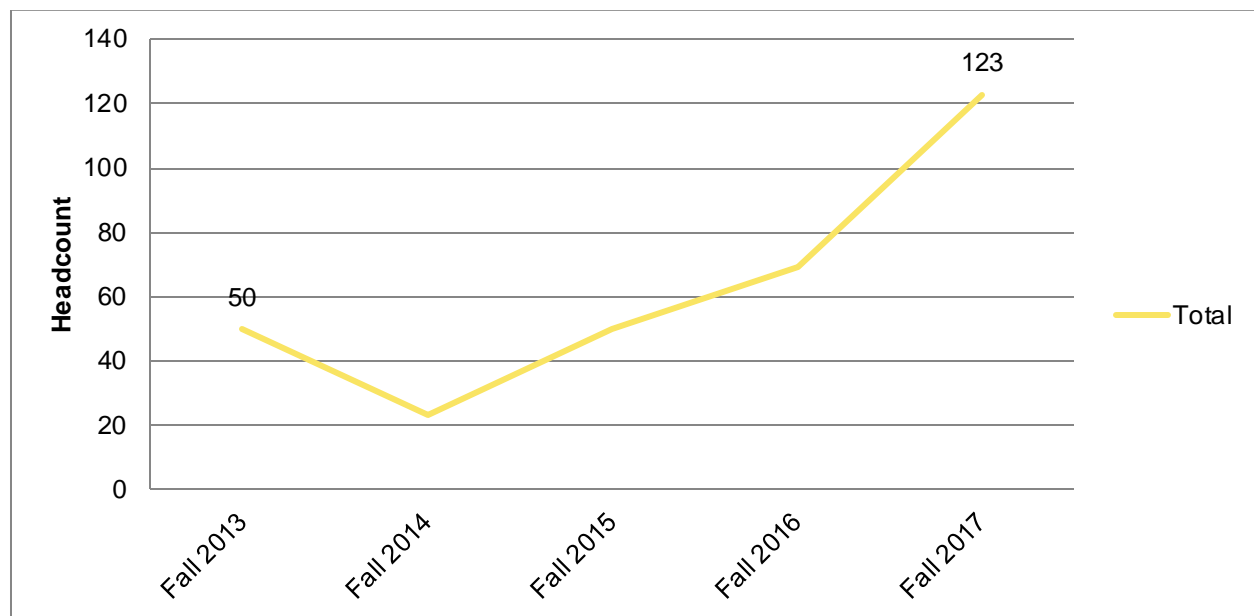
Figure 1.3. Certificate programs, fall headcount by Faculty.

Source: Strategic Analysis and Data Warehousing – accessed December 7, 2017.

Table 1.5 shows graduate enrolment in other programs, including qualifying, special, visiting and probationary students.

Table 1.5. Other programs*, fall headcount by Faculty.

Faculty	Fall 2013	Fall 2014	Fall 2015	Fall 2016	Fall 2017
ALES	5	8	4	4	2
Arts	14	23	17	16	12
Business	21	19	10	15	11
Education	1	3	6	4	2
Engineering	12	9	9	9	18
Extension	1		1		
Faculté Saint-Jean	6	1	3	9	1
Faculty of Native Studies		1			
Kinesiology, Sport, and Rec.	1	3	3	1	4
Law					
Medicine and Dentistry	3	7	7	8	2
Nursing	5	4	2	2	4
Pharmacy	2			1	1
Public Health	3	4	1	3	2
Rehabilitation Medicine	26	23	19	32	3
Science	5	12	4	4	5
Total	**105**	**117**	**86**	**108**	**67**

Source: Strategic Analysis and Data Warehousing – accessed December 7, 2017.
* Other programs include qualifying, special graduate, visiting and probationary students.

1.2. Faculty to Graduate Students Ratio

Tables 1.6-1.9 give an overview of the ratio of professors to graduate students in each Faculty. The goal is to express a supervisory ratio: thus all full, associate and assistant professors (those in academic category A1.1) are included in the faculty number. Medicine and Dentistry figures include contingent faculty members, who represent (on average for the past five years) 66.3% of the total professoriate.

We have reported on every Faculty in this dataset and there are important nuances that come to light: Faculties with large course-based Master's programs (Business's MBA, most graduate programs in the Faculty of Rehabilitation Medicine, a substantial proportion of Engineering's graduate offerings) appear to be carrying a disproportionately heavy supervisory responsibility. The value of Table 1.6 is principally in tracking whether student numbers and faculty complement are moving in tandem. Tables 1.7-1.9 offer breakdowns by degree.

On balance, the graduate student to faculty ratio has stayed relatively constant over the last five years.

Table 1.6. Faculty to graduate students ratio, by Faculty.

Faculty	Fall 2013			Fall 2014			Fall 2015			Fall 2016			Fall 2017		
	Prof	Grad	Ratio	Prof	Grad	Ratio	Prof	Grad	Ratio	Prof	Grad	Ratio	Prof	Grad	Ratio
ALES	104	524	1:5	108	527	1:4.9	111	500	1:4.5	113	515	1:4.6	108	515	1:4.8
Arts	347	900	1:2.6	319	834	1:2.6	322	751	1:2.3	323	770	1:2.4	320	731	1:2.3
Business	73	581	1:8	74	614	1:8.3	72	613	1:8.5	71	618	1:8.7	71	634	1:8.9
Education	109	873	1:8	100	925	1:9.3	104	901	1:8.7	107	896	1:8.4	111	851	1:7.7
Engineering	200	1,428	1:7.1	194	1,358	1:7	201	1,250	1:6.2	204	1,343	1:6.6	208	1,519	1:7.3
Extension	17	52	1:3.1	16	55	1:3.4	17	55	1:3.2	15	60	1:4	17	54	1:3.2
Faculté Saint-Jean	30	46	1:1.5	25	30	1:1.2	29	31	1:1.1	30	27	1.1:1	30	29	1:1
Faculty of Native Studies	8	10	1:1.3	8	8	1:1	10	12	1:1.2	11	20	1:1.8	11	17	1:1.5
Kinesiology, Sport, and Rec.	43	139	1:3.2	39	125	1:3.2	38	121	1:3.2	41	106	1:2.6	38	137	1:3.6
Law	32	16	2:1	29	11	2.6:1	27	12	2.3:1	28	14	2:1	28	11	2.5:1
Medicine and Dentistry	635	586	1.1:1	627	628	1:1	643	611	1.1:1	644	618	1:1	635	610	1:1
Nursing	51	146	1:2.9	49	148	1:3	47	131	1:2.8	47	124	1:2.6	45	120	1:2.7
Pharmacy	20	48	1:2.4	20	49	1:2.5	22	50	1:2.3	24	51	1:2.1	22	44	1:2
Public Health	28	291	1:10.4	25	293	1:11.7	26	262	1:10.1	27	241	1:8.9	25	246	1:9.8
Rehabilitation Medicine	48	787	1:16.4	42	787	1:18.7	44	833	1:18.9	44	963	1:21.9	42	990	1:23.6
Science	300	1,237	1:4.1	288	1,180	1:4.1	286	1,071	1:3.7	288	1,092	1:3.8	288	1,160	1:4
Total	2,045	7,664	1:3.7	1,963	7,572	1:3.9	1,999	7,204	1:3.6	2,017	7,458	1:3.7	1,999	7,668	1:3.8

Source: Strategic Analysis and Data Warehousing – accessed December 7, 2017, for student enrolment and January 10, 2018, for faculty numbers.
Notes: 1) information reflects faculty with Active, Leave With Pay, or Leave of Absence statuses on October 1 of each respective year; 2) contingent faculty, administrative faculty, and faculty on long-term disability are not captured; 3) Medicine and Dentistry figures also include contingent faculty members, who represent (on average for the past 5 years) 66.3% of the total professoriate figures; 4) All types of students are included in this table.

The ratio of both doctoral and thesis-based Master's students to faculty (Tables 1.7 and 1.8) has been relatively stable, indicating that the decrease in the number of doctoral and thesis-based Master's candidates has moved in parallel with the number of faculty members. The individual tables are worth examining closely, as there is significant variation between Faculties.

Table 1.7. Faculty to doctoral students ratio, by Faculty.

Faculty	Fall 2013			Fall 2014			Fall 2015			Fall 2016			Fall 2017		
	Prof	Grad	Ratio	Prof	Grad	Ratio	Prof	Grad	Ratio	Prof	Grad	Ratio	Prof	Grad	Ratio
ALES	104	235	1:2.3	108	237	1:2.2	111	230	1:2.1	113	221	1:2	108	220	1:2
Arts	347	478	1:1.4	319	452	1:1.4	322	413	1:1.3	323	412	1:1.3	320	394	1:1.2
Business	73	61	1.2:1	74	51	1.5:1	72	45	1.6:1	71	46	1.5:1	71	49	1.4:1
Education	109	291	1:2.7	100	295	1:3	104	257	1:2.5	107	246	1:2.3	111	255	1:2.3
Engineering	200	702	1:3.5	194	711	1:3.7	201	678	1:3.4	204	679	1:3.3	208	709	1:3.4
Extension	17	-	-	16	-	-	17	-	-	15	-	-	17	-	-
Faculté Saint-Jean	30	-	-	25	-	-	29	-	-	30	-	-	30	-	-
Faculty of Native Studies	8	-	-	8	-	-	10	-	-	11	-	-	11	5	2.2:1
Kinesiology, Sport, and Rec.	43	65	1:1.5	39	55	1:1.4	38	56	1:1.5	41	49	1:1.2	38	58	1:1.5
Law	32	8	4:1	29	7	4.1:1	27	7	3.9:1	28	8	3.5:1	28	7	4:1
Medicine and Dentistry	635	316	2:1	627	340	1.8:1	643	342	1.9:1	644	329	2:1	635	308	2.1:1
Nursing	51	65	1:1.3	49	68	1:1.4	47	64	1:1.4	47	68	1:1.4	45	66	1:1.5
Pharmacy	20	33	1:1.7	20	32	1:1.6	22	32	1:1.5	24	28	1:1.2	22	23	1:1
Public Health	28	42	1:1.5	25	45	1:1.8	26	50	1:1.9	27	47	1:1.7	25	57	1:2.3
Rehabilitation Medicine	48	38	1.3:1	42	36	1.2:1	44	37	1.2:1	44	35	1.3:1	42	45	1:1.1
Science	300	686	1:2.3	288	646	1:2.2	286	566	1:2	288	564	1:2	288	567	1:2
Total	2,045	3,020	1:1.5	1,963	2,975	1:1.5	1,999	2,777	1:1.4	2,017	2,732	1:1.4	1,999	2,763	1:1.4

Source: Strategic Analysis and Data Warehousing – accessed December 7, 2017, for student enrolment and January 10, 2018, for faculty numbers.
Notes: 1) information reflects faculty with Active, Leave With Pay, or Leave of Absence statuses on October 1 of each respective year; 2) contingent faculty, administrative faculty, and faculty on long-term disability are not captured; 3) Medicine and Dentistry figures also include contingent faculty members, who represent (on average for the past 5 years) 66.3% of the total professoriate figures.

Table 1.8. Faculty to thesis-based Master's students ratio, by Faculty.

Faculty	Fall 2013			Fall 2014			Fall 2015			Fall 2016			Fall 2017		
	Prof	Grad	Ratio	Prof	Grad	Ratio	Prof	Grad	Ratio	Prof	Grad	Ratio	Prof	Grad	Ratio
ALES	104	258	1:2.5	108	261	1:2.4	111	244	1:2.2	113	255	1:2.3	108	254	1:2.4
Arts	347	311	1:1	319	269	1.2:1	322	240	1.3:1	323	255	1.3:1	320	258	1.2:1
Business	73	-	-	74	1	74:1	72	-	-	71	-	-	71	-	-
Education	109	85	1.3:1	100	80	1.3:1	104	70	1.5:1	107	70	1.5:1	111	65	1.7:1
Engineering	200	566	1:2.8	194	545	1:2.8	201	527	1:2.6	204	544	1:2.7	208	557	1:2.7
Extension	17	2	8.5:1	16	1	16:1	17	-	-	15	8	1.9:1	17	15	1.1:1
Faculté Saint-Jean	30	16	1.9:1	25	13	1.9:1	29	8	3.6:1	30	5	6:1	30	10	3:1
Faculty of Native Studies	8	10	1:1.3	8	7	1.1:1	10	12	1:1.2	11	20	1:1.8	11	12	1:1.1
Kinesiology, Sport, and Rec.	43	57	1:1.3	39	49	1:1.3	38	44	1:1.2	41	41	1:1	38	41	1:1.1
Law	32	6	5.3:1	29	4	7.3:1	27	5	5.4:1	28	5	5.6:1	28	4	7:1
Medicine and Dentistry	635	265	2.4:1	627	281	2.2:1	643	260	2.5:1	644	277	2.3:1	635	296	2.1:1
Nursing	51	33	1.5:1	49	29	1.7:1	47	20	2.4:1	47	18	2.6:1	45	18	2.5:1
Pharmacy	20	13	1.5:1	20	17	1.2:1	22	18	1.2:1	24	22	1.1:1	22	20	1.1:1
Public Health	28	99	1:3.5	25	100	1:4	26	80	1:3.1	27	71	1:2.6	25	68	1:2.7
Rehabilitation Medicine	48	41	1.2:1	42	39	1.1:1	44	48	1:1.1	44	49	1:1.1	42	51	1:1.2
Science	300	455	1:1.5	288	432	1:1.5	286	390	1:1.4	288	411	1:1.4	288	464	1:1.6
Total	2,045	2,217	1:1.1	1,963	2,128	1:1.1	1,999	1,966	1:1	2,017	2,051	1:1	1,999	2,133	1:1.1

Source: Strategic Analysis and Data Warehousing – accessed December 7, 2017, for student enrolment and January 10, 2018, for faculty numbers.
Notes: 1) information reflects faculty with Active, Leave With Pay, or Leave of Absence statuses on October 1 of each respective year; 2) contingent faculty, administrative faculty, and faculty on long-term disability are not captured; 3) Medicine and Dentistry figures also include contingent faculty members, who represent (on average for the past 5 years) 66.3% of the total professoriate figures; 4) students in post Master's and post-baccalaureate certificates, postgraduate diplomas, qualifying, special graduate, visiting and probationary students are excluded.

The number of course-based Master's students has been growing across the university, while the number of faculty has decreased. Across the campus as a whole, this has resulted in a slight increase in the number of students per faculty member (Table 1.9). As noted with the tables above, there is significant variation among Faculties.

Table 1.9. Faculty to course-based Master's students ratio, by Faculty.

Faculty	Fall 2013			Fall 2014			Fall 2015			Fall 2016			Fall 2017		
	Prof	Grad	Ratio	Prof	Grad	Ratio	Prof	Grad	Ratio	Prof	Grad	Ratio	Prof	Grad	Ratio
ALES	104	26	4:1	108	21	5.1:1	111	22	5:1	113	35	3.2:1	108	39	2.8:1
Arts	347	97	3.6:1	319	90	3.5:1	322	81	4:1	323	87	3.7:1	320	67	4.8:1
Business	73	499	1:6.8	74	543	1:7.3	72	558	1:7.8	71	556	1:7.8	71	572	1:8.1
Education	109	496	1:4.6	100	546	1:5.5	104	567	1:5.5	107	576	1:5.4	111	529	1:4.8
Engineering	200	148	1.4:1	194	93	2.1:1	201	36	5.6:1	204	111	1.8:1	208	235	1:1.1
Extension	17	49	1:2.9	16	54	1:3.4	17	54	1:3.2	15	52	1:3.5	17	39	1:2.3
Faculté Saint-Jean	30	24	1.3:1	25	16	1.6:1	29	20	1.5:1	30	13	2.3:1	30	18	1.7:1
Faculty of Native Studies	8	-	-	8	-	-	10	-	-	11	-	-	11	-	-
Kinesiology, Sport, and Rec.	43	16	2.7:1	39	18	2.2:1	38	18	2.1:1	41	15	2.7:1	38	17	2.2:1
Law	32	2	16:1	29	-	-	27	-	-	28	1	28:1	28	-	-
Medicine and Dentistry	635	2	317.5:1	627	-	-	643	2	321.5:1	644	4	161:1	635	4	158.8:1
Nursing	51	43	1.2:1	49	47	1:1	47	45	1:1	47	36	1.3:1	45	32	1.4:1
Pharmacy	20	-	-	20	-	-	22	-	-	24	-	-	22	-	-
Public Health	28	146	1:5.2	25	144	1:5.8	26	131	1:5	27	120	1:4.4	25	119	1:4.8
Rehabilitation Medicine	48	633	1:13.2	42	667	1:15.9	44	680	1:15.5	44	779	1:17.7	42	787	1:18.7
Science	300	91	3.3:1	288	90	3.2:1	286	111	2.6:1	288	113	2.5:1	288	124	2.3:1
Total	2,045	2,272	1:1.1	1,963	2,329	1:1.2	1,999	2,325	1:1.2	2,017	2,498	1:1.2	1,999	2,582	1:1.3

Source: Strategic Analysis and Data Warehousing – accessed December 7, 2017, for student enrolment and January 10, 2018, for faculty numbers.
Notes: 1) information reflects faculty with Active, Leave With Pay, or Leave of Absence statuses on October 1 of each respective year; 2) contingent faculty, administrative faculty, and faculty on long-term disability are not captured; 3) Medicine and Dentistry figures also include contingent faculty members, who represent (on average for the past 5 years) 66.3% of the total professoriate figures; 4) students in post Master's and post-baccalaureate certificates, postgraduate diplomas, qualifying, special graduate, visiting and probationary students are excluded.

1.3. Graduate/Undergraduate Enrolment Comparison

Graduate students make up approximately 20% of the total student population at the University of Alberta. Table 1.10 demonstrates how graduate-intensive we are.

Table 1.10. Undergraduate to graduate student ratio.

Academic Career	Fall 2008	Fall 2009	Fall 2010	Fall 2011	Fall 2012	Fall 2013	Fall 2014	Fall 2015	Fall 2016	Fall 2017
Undergraduate	29,338	29,642	30,087	30,419	30,986	30,700	30,172	29,625	29,841	30,755
Graduate	6,695	7,151	7,346	7,474	7,598	7,664	7,572	7,204	7,458	7,668
Ratio	4:1	4:1	4:1	4:1	4:1	4:1	4:1	4:1	4:1	4:1
Total	36,033	36,793	37,433	37,893	38,584	38,364	37,744	36,829	37,299	38,423
Graduate % of total	18.6%	19.4%	19.6%	19.7%	19.7%	20.0%	20.1%	19.6%	20.0%	20.0%

Source: Strategic Analysis and Data Warehousing – accessed December 7, 2017.
Notes: 1) graduate students include all possible graduate degree types; 2) undergraduate students exclude career preparation (17 students in Fall 2014, 24 students in Fall 2015, 27 students in Fall 2016, 27 students in Fall 2017).

Table 1.11 expresses how graduate-intensive individual Faculties are. While there is variation between units, the number of graduate students is also an indication of the capacity that these junior colleagues add to the university, supporting teaching and research across our campuses.

Table 1.11. Percentage of graduate students in total by Faculty.

Program Faculty	Fall 2013 Total	Grad %	Fall 2014 Total	Grad %	Fall 2015 Total	Grad %	Fall 2016 Total	Grad %	Fall 2017 Total	Grad %
ALES	2,148	24%	2,086	25%	2,028	25%	2,067	25%	2,105	24%
Arts	6,902	13%	6,610	13%	6,463	12%	6,459	12%	6,571	11%
Augustana Faculty	1,002	0%	1,068	0%	1,016	0%	1,008	0%	1,044	0%
Business	2,627	22%	2,638	23%	2,631	23%	2,635	23%	2,678	24%
Education	3,921	22%	3,611	26%	3,659	25%	3,781	24%	3,800	22%
Engineering	5,608	25%	5,762	24%	5,588	22%	5,579	24%	5,960	25%
Extension	52	100%	55	100%	55	100%	60	100%	54	100%
Faculté Saint-Jean	598	8%	592	5%	578	5%	602	4%	684	4%
Faculty of Native Studies	141	7%	166	5%	163	7%	198	10%	219	8%
Kinesiology, Sport, and Rec.	1,118	12%	1,092	11%	1,059	11%	1,085	10%	1,133	12%
Law	542	3%	537	2%	561	2%	577	2%	572	2%
Medicine and Dentistry	1,614	36%	1,653	38%	1,651	37%	1,654	37%	1,659	37%
Nursing	1,753	8%	1,747	8%	1,617	8%	1,466	8%	1,404	9%
Open Studies	1,062	0%	1,025	0%	1,054	0%	1,120	0%	1,238	0%
Pharmacy	565	8%	569	9%	577	9%	594	9%	590	7%
Public Health	291	100%	293	100%	262	100%	241	100%	246	100%
Rehabilitation Medicine	809	97%	807	98%	860	97%	984	98%	995	99%
Science	7,611	16%	7,433	16%	7,007	15%	7,189	15%	7,471	16%
Total	38,364	20%	37,744	20%	36,829	20%	37,299	20%	38,423	20%

Source: Strategic Analysis and Data Warehousing – accessed December 7, 2017.
Notes: 1) graduate students include all possible graduate degree types; 2) undergraduate students exclude career preparation (17 students in Fall 2014, 24 students in Fall 2015, 27 students in Fall 2016, 27 students in Fall 2017).

1.4. Graduate Students by Citizenship

With over one third of our graduate students coming from outside Canada, ours is a highly international student body. The total number of international graduate students (students on a student visa, work permit or study permit) has remained stable over time. However, as Table 1.12 shows, international students are distributed unevenly across Faculties. It is important to remember that there are citizenship implications for funding: Tri-Agency awards, for example, are available only to Canadian citizens and permanent residents (who are grouped together here).

Table 1.12. Graduate students by citizenship and Faculty.

Program Faculty	Fall 2013		Fall 2014		Fall 2015		Fall 2016		Fall 2017	
	Total	Int. %	Total	Int. %	Total	Int. %	Total	Int. %	Total	Int. %
ALES	524	51%	527	49%	500	52%	515	51%	515	51%
Arts	900	30%	834	33%	751	33%	770	34%	731	34%
Business	581	26%	614	33%	613	34%	618	28%	634	28%
Education	873	7%	925	9%	901	9%	896	7%	851	7%
Engineering	1428	60%	1358	63%	1250	64%	1343	61%	1519	61%
Extension	52	2%	55	4%	55	4%	60	3%	54	3%
Faculté Saint-Jean	46	2%	30	7%	31	3%	27	4%	29	4%
Faculty of Native Studies	10	0%	8	0%	12	0%	20	0%	17	0%
Kinesiology, Sport, and Rec.	139	23%	125	21%	121	22%	106	20%	137	20%
Law	16	25%	11	18%	12	25%	14	29%	11	29%
Medicine and Dentistry	586	35%	628	35%	611	34%	618	33%	610	33%
Nursing	146	14%	148	15%	131	16%	124	20%	120	20%
Pharmacy	48	65%	49	53%	50	58%	51	65%	44	65%
Public Health	291	14%	293	13%	262	11%	241	11%	246	11%
Rehabilitation Medicine	787	4%	787	4%	833	3%	963	3%	990	3%
Science	1237	54%	1180	52%	1071	51%	1092	53%	1160	53%
Total	7664	34%	7572	35%	7204	34%	7458	34%	7668	34%

Source: Strategic Analysis and Data Warehousing – accessed December 7, 2017.
Notes: 1) graduate students include all possible graduate degree types; 2) total = total domestic + international students, Int % = percentage international students out of the total enrolled.

The international graduate population is much more diversified than the undergraduate population. We have graduate students from over 160 countries, although the vast majority are represented by very few individuals. Table 1.13 shows the 15 countries with the largest numbers of citizens enrolled at the university (by headcount) over the 10-year period from 2008 to 2017. These 15 countries represent 90% of the graduate student headcount for Fall 2017. The precise list of countries varies over time, but China, Iran and India have been the top three for over a decade.

Table 1.13. Top 15 source countries by student citizenship.

Country of Citizen	Fall 2008	Fall 2009	Fall 2010	Fall 2011	Fall 2012	Fall 2013	Fall 2014	Fall 2015	Fall 2016	Fall 2017
Canada	4203	4287	4224	4238	4246	4249	4085	3967	4236	4,335
China	640	662	687	781	849	933	1021	963	922	973
Iran	288	397	477	510	538	493	477	445	428	397
India	204	285	331	305	288	314	308	287	302	325
United States	105	116	139	158	178	175	169	156	150	165
Bangladesh	95	126	134	129	125	150	137	105	105	113
Brazil	31	32	36	41	47	47	58	71	75	92
Pakistan	93	133	145	136	130	98	86	74	78	88
Mexico	61	63	67	77	80	65	49	51	62	79
Nigeria	52	58	63	53	55	72	79	68	73	70
Egypt	77	87	94	90	83	82	79	62	62	65
Colombia	34	36	43	53	55	54	47	45	50	58
Saudi Arabia	24	34	49	47	63	63	77	71	59	56
South Korea	50	48	51	40	37	41	43	41	51	50
Ghana	18	27	23	28	35	36	43	45	49	44

Source: Strategic Analysis and Data Warehousing – accessed December 7, 2017.
Notes: 1) includes graduate students in all possible graduate degree types; 2) top 15 out of 276 independent sovereignties, territories, and nations listed in UAlberta enterprise solution, PeopleSoft; 3) top 15 listed in sequence according to Fall 2017 figures.

1.5. Sponsored Students

Sponsored students are international students who are either partially or fully supported by their governments, national or multinational companies, or third-party entities such as Fulbright. Support normally includes tuition, associated fees, and living expenses for the duration of the degree. Sponsored student numbers vary year to year, predominantly as a result of factors beyond our control. University of Alberta International administers the Sponsored Student Program.

The University of Alberta receives sponsored graduate students from a total of 43 countries, the top 11 of which are listed in sequence in Table 1.14 below. Although sponsored students represent only about 5% of international graduate students, it is a segment of the student population that has grown.

Historically, almost 70% of sponsored students have been in doctoral programs. The duration of sponsorships has been between one and six years, although the majority of them last three or four years.

Table 1.14. Citizenship of sponsored graduate students.

Country	2011-12	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18	Total
China	29	39	27	49	30	29	32	235
Saudi Arabia	18	24	13	18	11	16	13	113
Mexico	4	9	4	6	14	11	19	67
Libya	0	3	5	10	7	2	2	29
Columbia	3	2	3	4	6	4	4	26
Vietnam	8	4	5	2	4	0	1	24
Brazil	2	3	1	9	6	0	3	24
Chile	6	2	1	0	0	3	2	14
Kazakhstan	1	3	2	0	0	1	4	11
Pakistan	4	2	0	0	0	4	0	10
Jordan	0	2	0	1	1	3	2	9

Source: University of Alberta International Statistics – accessed November 21, 2017.
Notes: 1) students listed in each column are new students who started in that academic year; 2) Winter 2018 projections have been included in the 2017-18 numbers and are based on current confirmed admissions; these numbers are subject to change.
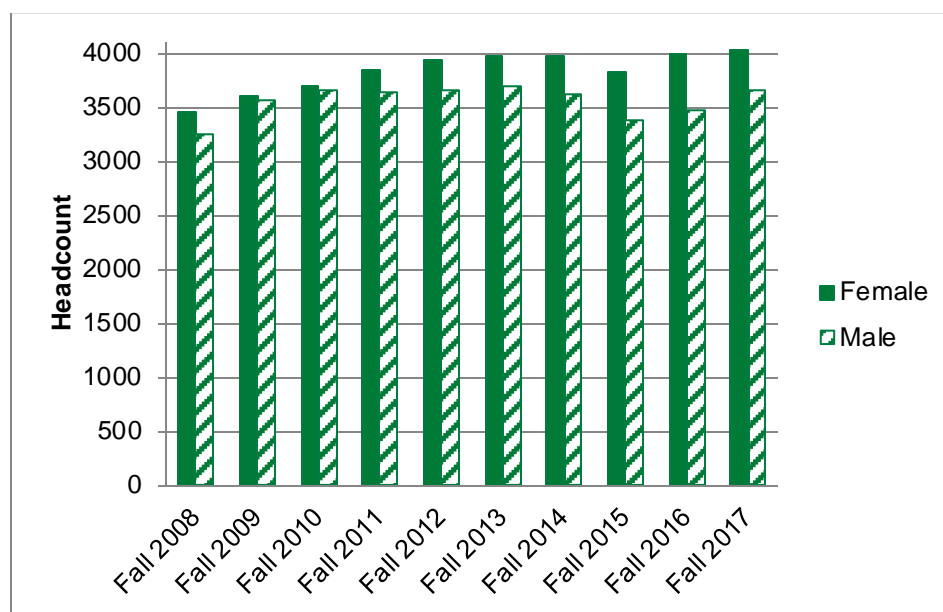
1.6. Enrolment by Gender

Table 1.15 and Figure 1.4 show enrolment by gender for all graduate students including PhD, Master's, students in other categories, and students with a home department of FGSR. Overall, women continue to outnumber men in graduate studies.

The new graduate admissions software allows applicants to self-identify as male or female, or to choose not to disclose. In 2017-2018, the first year of the software implementation, seven students did not declare a gender, as shown in Table 1.15. Over time, this change in practice will allow us to reflect our students' gender diversity with more nuance.

Table 1.15. Fall term graduate enrolment by gender.

Total	Fall 2008	Fall 2009	Fall 2010	Fall 2011	Fall 2012	Fall 2013	Fall 2014	Fall 2015	Fall 2016	Fall 2017
Female	3456	3595	3692	3840	3945	3977	3967	3828	4000	4020
Male	3239	3556	3654	3634	3653	3687	3605	3376	3458	3641
Undeclared										7

Source: Strategic Analysis and Data Warehousing – accessed December 7, 2017.

Figure 1.4. Fall term graduate enrolment by gender.
Source: Strategic Analysis and Data Warehousing – accessed December 7, 2017.

The following figures include students registered in graduate certificates and diplomas in addition to the three degree program types offered. Figure 1.5 shows that women comprise an increasing percentage of doctoral students. The percentage of female doctoral students currently stands at 46%. The national percentage of women enrolled full-time in doctoral programs was 47.8% in 2013 as reported by the Canadian Association of Graduate Studies[1] (CAGS). Women have remained at approximately 47% in this category since 2008.

Figure 1.5 Doctoral enrolment by gender.
Source: Strategic Analysis and Data Warehousing – accessed December 7, 2017.

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[1] Canadian Association of Graduate Students, 42nd Statistical Report, 2016

Women are close to parity in thesis-based Master's programs (Figure 1.6) and exceed men by nearly 2:1 in course-based Master's programs (Figure 1.7). The CAGS data does not differentiate between course-based and thesis-based Master's programs. CAGS reports that women comprised 53-54% of full-time Master's enrolments nationally in all years from 2009 to 2013.

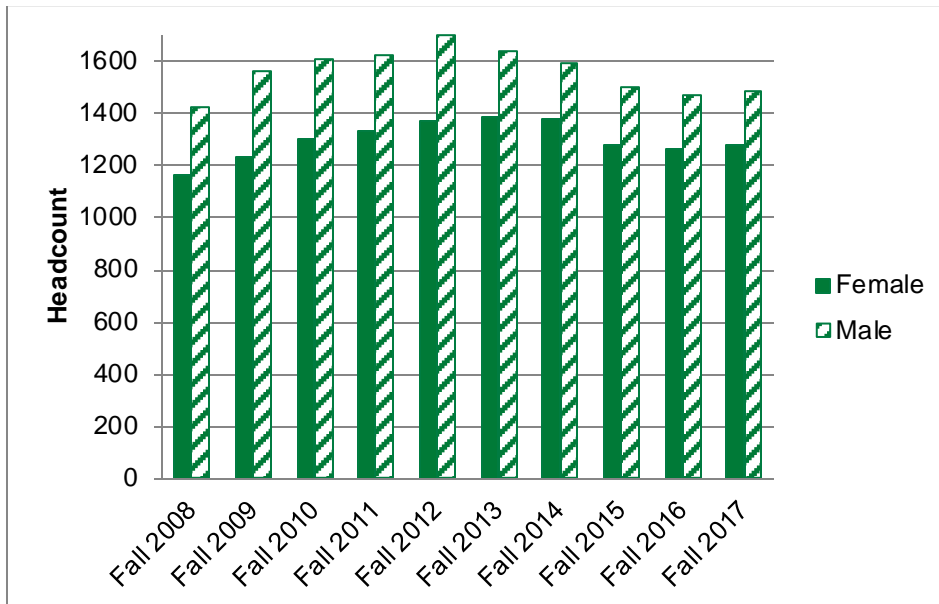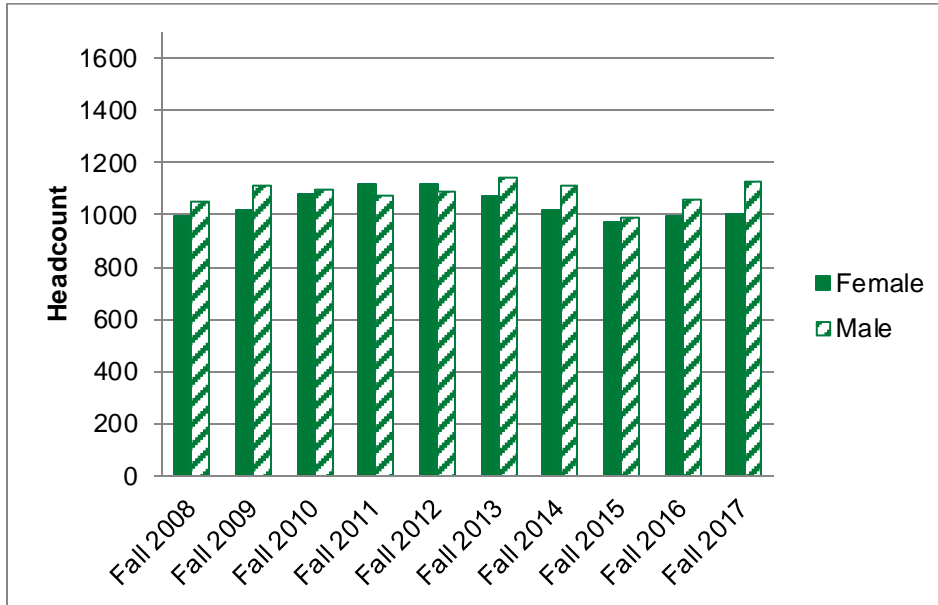**Figure 1.6. Thesis-based Master's enrolment by gender.**
Source: Strategic Analysis and Data Warehousing – accessed December 7, 2017.
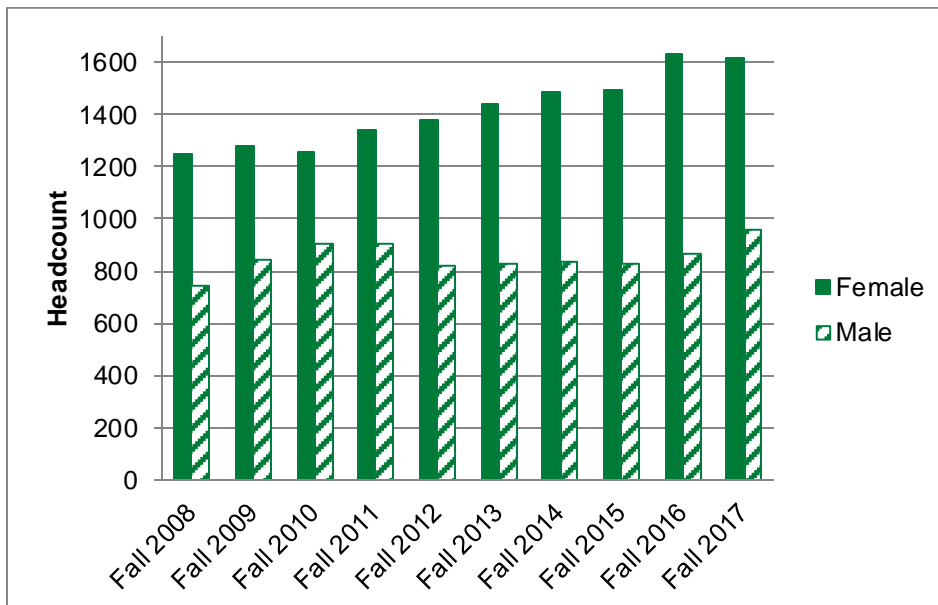
Figure 1.7. Course-based Master's enrolment by gender.
Source: Strategic Analysis and Data Warehousing – accessed December 7, 2017.

1.7. First Nations, Métis and Inuit Enrolment

It is exciting to report an all-time high (192) in the number of self-declared First Nations, Métis and Inuit (FNMI) students registered in our programs (Figure 1.8). Although the figures here are obviously volatile and the overall number is small, this number represents 2.5% of all graduate students. The highest numbers of FNMI students are in course-based Master's programs.

Figure 1.8. FNMI enrolment.
Source: Strategic Analysis and Data Warehousing – accessed December 7, 2017.
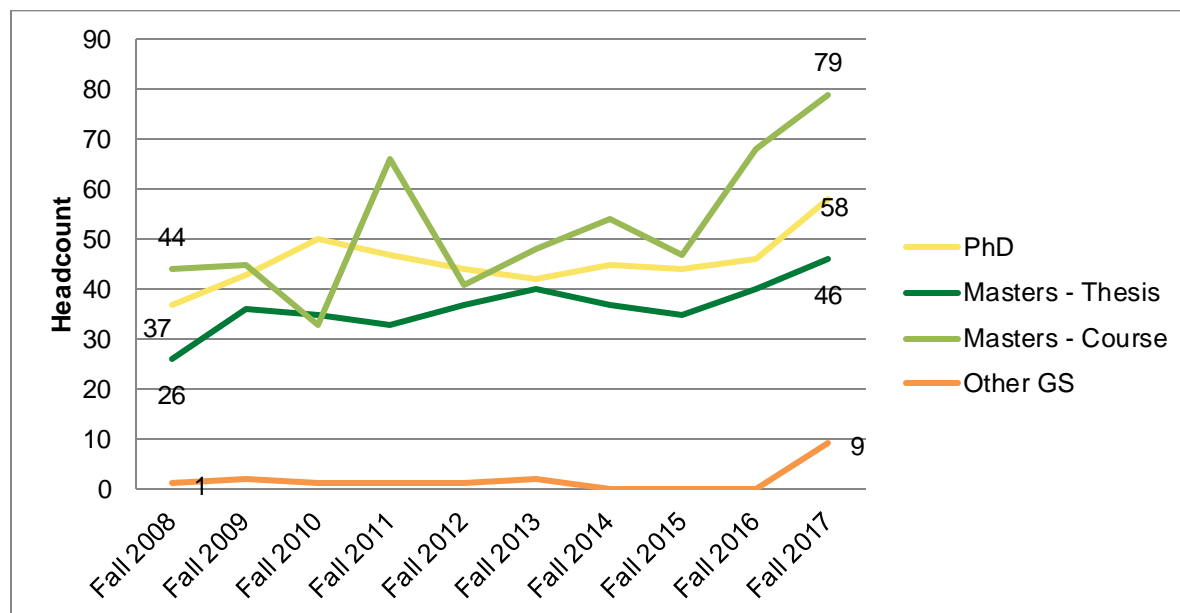Note: "Other" includes qualifying, visiting and probationary students as well as people registered in post-baccalaureate certificates or postgraduate diplomas.

The distribution of FNMI students is not consistent across the academy. Table 1.16 highlights those faculties with the highest numbers of self-declared FNMI students.

Table 1.16 FNMI enrolment by Faculty.

Program Faculty	Fall 2017 Master's Thesis	Fall 2017 Master's Course	Fall 2017 PhD	Fall 2017 Other GS	Total
Agric, Life & Environ Sciences	6		4		10
Arts	12	1	12		25
Business		13	1		14
Education	3	31	28		62
Kinesiology, Sport, and Rec.	3			8	11
Rehabilitation Medicine		23		1	24
Science	9	1	1		11
All Other Faculties	13	10	12	0	35

Source: Strategic Analysis and Data Warehousing – accessed December 7, 2017.
Note: "Other" includes qualifying, visiting and probationary students as well as people registered in post-baccalaureate certificates or postgraduate diplomas.

2. Applications and Admissions

Graduate applications for 2017-18 reached an all-time high.

As noted in the Dean's message, an important factor behind the marked increase in the total number of applicants is the new graduate admissions system implemented as part of the Graduate Studies Management Solution (GSMS). Previously, some departments pre-screened applicants and did not send them on to the university admissions system if they were not qualified. Migration to the new system allows the university to better understand the true demand for our programs, a key measure for our quality assurance processes. All applications processed in the new system have been included in this analysis.

2.1. Graduate Admissions

Figure 2.1 shows the total number of applications for admission to graduate programs, the number of admissions offered and the number of subsequent registrations. This approach counts applications, not applicants: some applicants may have submitted multiple applications (though this is more likely at the undergraduate level).

We continue to be competitive, admitting only about one third of the students who apply to our graduate programs. The yield rate (percentage of registrations resulting from offers of admission) moves in tandem with the rate of admission, which gives stability and predictability – factors that are especially important for funding projections.
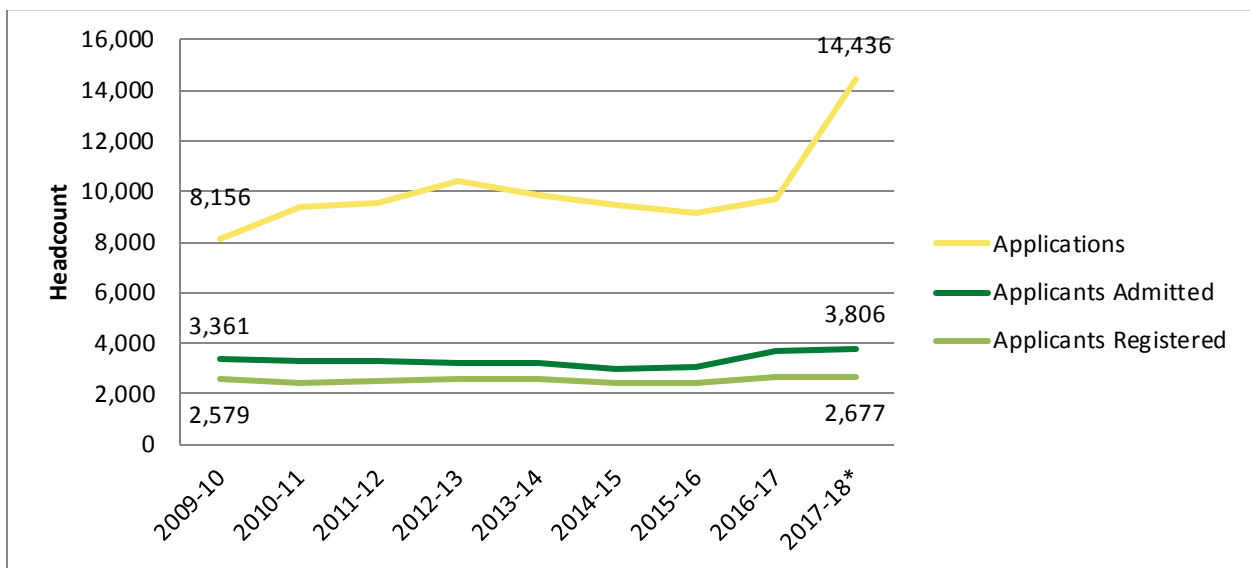
Figure 2.1. Total number of applications to graduate programs.
Source: Strategic Analysis and Data Warehousing – accessed December 8, 2017.
*Academic year figures (Sept to Aug) for 2017-18 were estimated based on the average proportion of fall admissions to total admissions over the preceding three-year period.

Unlike the vast majority of undergraduate students, approximately 25% of graduate students do not start in the fall term. In Figures 2.1 to 2.4, we have estimated 2017-18 numbers based on the overall proportion of fall admissions in the previous 3 years. Table 2.1 shows what percentage of yearly applications, admissions and registrations occur in the fall term.

Table 2.1 Percentage of yearly applications, admissions and registrations in the fall term.

Fall Proportion in total year	2008-09	2009-10	2010-11	2011-12	2012-13	2013-14	2014-15	2015-16	2016-17
Applications	85%	86%	85%	85%	82%	81%	81%	81%	81%
Applicants Admitted	80%	81%	80%	78%	75%	77%	74%	73%	76%
Applicants Registered	78%	80%	79%	76%	73%	75%	72%	74%	74%

Source: Strategic Analysis and Data Warehousing, December 1, 2017 archive, accessed December 8, 2017.
Note: Applicants Admitted = students who applied and were admitted in the fall term of each year; Applicants Registered = students who registered at the U of A after being accepted.

Domestic graduate applications decreased slightly in 2017-18 (Canadian citizens and permanent residents) with a high yield rate, as shown in Figure 2.2. Overall yield rates are shown in the tables in Section 2.2.
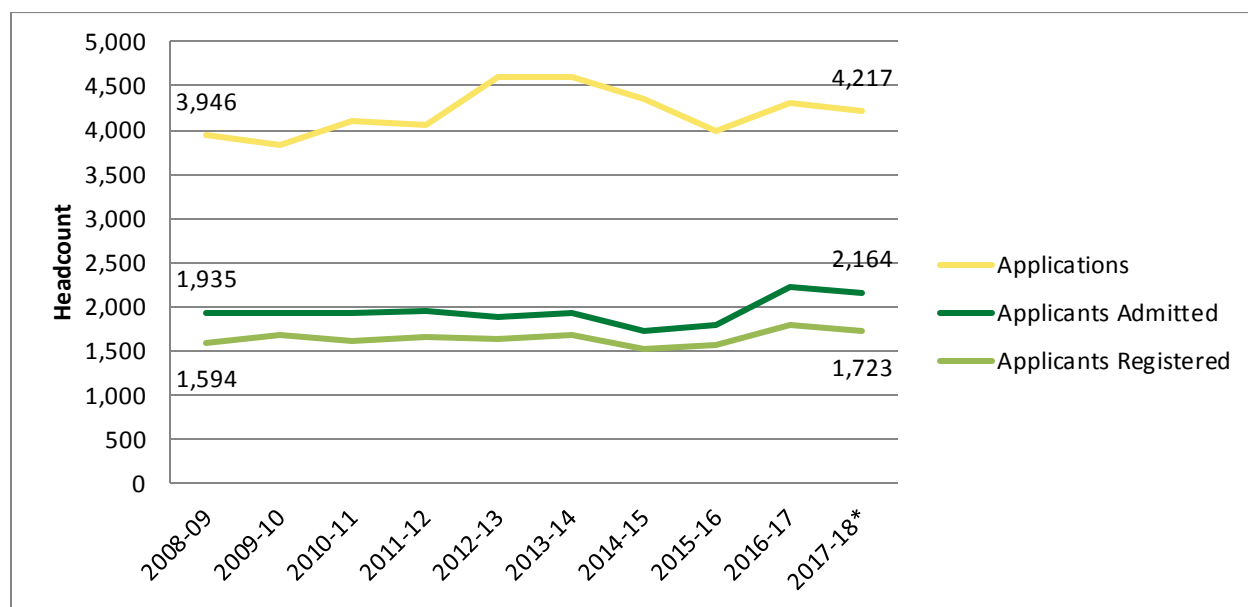
Figure 2.2. Domestic graduate admissions.
Source: Strategic Analysis and Data Warehousing, December 1, 2017 archive, accessed December 8, 2017.
*Academic year figures (Sept to Aug) for 2017-18 were estimated based on the average proportion of fall admissions to total admissions over the preceding three-year period.

International applicants (students attending the university on a study/work visa) form an increasingly large part of the total graduate applicant pool. While domestic applications are showing modest changes, international applications have tripled since 2008 (Figure 2.3). Since admission rates are staying relatively constant, this graph suggests that our programs are becoming more highly sought after and competitive. As can also be seen in the graph, the increase in demand has not translated into a proportional increase in offers of admission or enrolments.

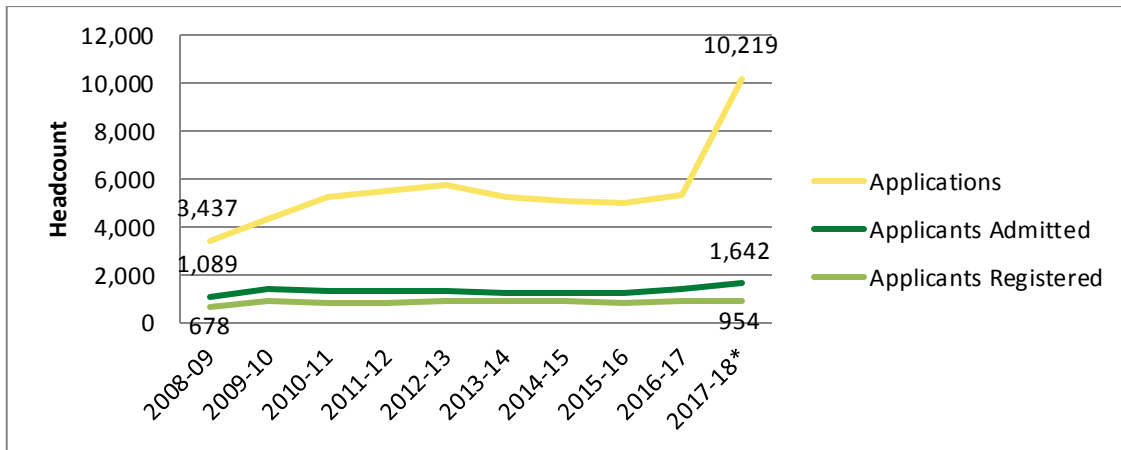**Figure 2.3. International graduate applications and admissions.**
Source: Strategic Analysis and Data Warehousing, December 1, 2017 archive, accessed December 8, 2017.
*Academic year figures (Sept to Aug) for 2017-18 were estimated based on the average proportion of fall admissions to total admissions over the preceding three-year period.

For FMNI students, the gap between applications and admissions (Figure 2.4) is smaller than in non-Indigenous students (60% of FNMI applicants are admitted, as opposed to 21% overall), suggesting that our pool of FNMI applicants is well-qualified. The pool is still very small and numbers fluctuate significantly. FGSR is working to identify and pursue wrap-around efforts to recruit and support Indigenous graduate students.
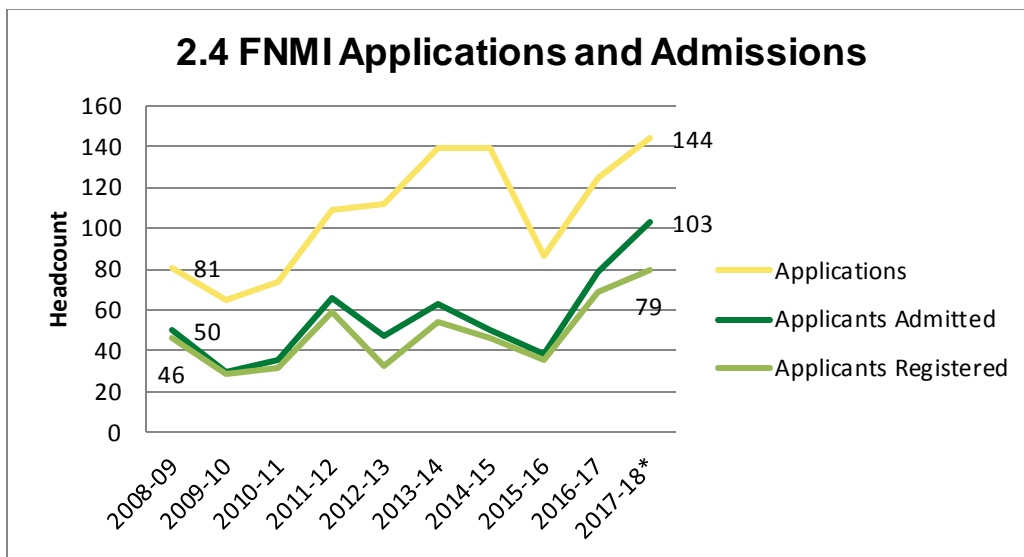

Figure 2.4. FMNI applications and admissions.
Source: Strategic Analysis and Data Warehousing, December 1, 2017 archive, accessed December 8, 2017.
*Academic year figures (Sept to Aug) for 2017-18 were estimated based on the average proportion of fall admissions to total admissions over the preceding three-year period.

2.2. Admissions Grade Point Average

The admissions grade point average (AGPA)[2] is one of the basic eligibility criteria for graduate admissions, although it is not usually a final determining factor.

Tables 2.2-2.4 show the average AGPA for all applicants admitted by program type. They demonstrate consistently high entry AGPAs over the last decade. Only a small group of applicants are admitted with AGPAs below 3.0; this remains our highest-yielding group.

This section considers only those students in doctoral and Master's programs. Students in other program categories (qualifying, visiting and probationary students) and those registered in post-baccalaureate certificates or postgraduate diplomas are not included.

Table 2.2. Doctoral average AGPA.

	Average AGPA	Applicants Admitted	Applicants Registered	Percentage Yield
2008-09	3.67	663	487	73%
2009-10	3.68	724	561	77%
2010-11	3.69	691	527	76%
2011-12	3.70	716	518	72%
2012-13	3.65	711	548	77%
2013-14	3.66	610	477	78%
2014-15	3.66	587	466	79%
2015-16	3.72	596	469	79%
2016-17	3.73	646	435	67%
Fall 2017*	3.68	548	373	68%

Source: Strategic Analysis and Data Warehousing, December 1, 2017 archive, accessed December 8, 2017.
*Academic year figures (Sept to Aug) for 2017-18 were extracted from December archive, which includes fall term numbers only.

Table 2.3. Thesis-based Master's average AGPA.

	Average AGPA	Applicants Admitted	Applicants Registered	Percentage Yield
2008-09	3.57	1,012	735	73%
2009-10	3.59	1,060	813	77%
2010-11	3.57	923	707	77%
2011-12	3.59	974	749	77%
2012-13	3.58	985	799	81%
2013-14	3.60	912	767	84%
2014-15	3.62	886	759	86%
2015-16	3.66	930	778	84%
2016-17	3.61	1,106	848	77%
Fall 2017*	3.63	896	648	72%

Source: Strategic Analysis and Data Warehousing, December 1, 2017 archive, accessed December 8, 2017.
*Academic year figures (Sept to Aug) for 2017-18 were extracted from December archive, which includes fall term numbers only.

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[2] The Admission Grade Point Average (AGPA) is calculated from the grades on the most recent 60 course credits taken by the applicant. Please note that with the paper-based application system in use until December 2014, FGSR could only see the transcripts and calculate the AGPA for the applicants being offered admission. The AGPAs of the applicants who were not admitted is unknown.

Table 2.4. Course-based Master's average AGPA.

	Average AGPA	Applicants Admitted	Applicants Registered	Percentage Yield
2008-09	3.46	1,161	892	77%
2009-10	3.51	1,366	1,040	76%
2010-11	3.53	1,430	1,053	74%
2011-12	3.49	1,425	1,129	79%
2012-13	3.49	1,235	981	79%
2013-14	3.49	1,403	1,136	81%
2014-15	3.53	1,247	991	79%
2015-16	3.56	1,263	1,002	79%
2016-17	3.51	1,637	1,182	72%
Fall 2017*	3.56	1,216	806	66%

Source: Strategic Analysis and Data Warehousing, December 1, 2017 archive, accessed December 8, 2017.
*Academic year figures (Sept to Aug) for 2017-18 were extracted from December archive, which includes fall term numbers only.
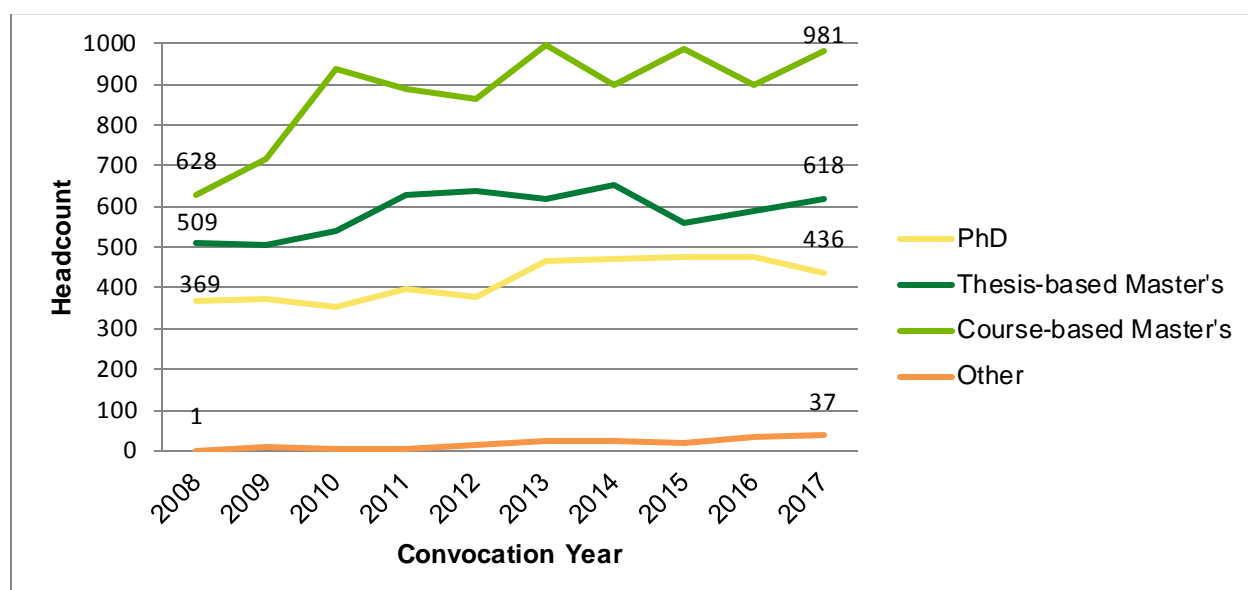
3. Convocation

This section provides information on graduate degrees by graduating cohort, which includes all individuals who graduate in a given calendar year. The method used here provides the most accurate picture of completion times based on the information available to us.

It is also important to note that since convocation numbers are reported by calendar year, they cannot be precisely correlated with admissions, which operate on an academic year.

3.1. Graduate Degrees Granted

When our programs are working well, the lines in the following graph should follow the lines in our overall enrolment tables, at a lag consistent with the average number of years per program.

Figure 3.1. Convocants by degree.

Source: Strategic Analysis and Data Warehousing – accessed December 7, 2017.
Notes: 1) convocation year = calendar year (January 1 to December 31); 2) includes June and November convocations of a particular year; 3) "other" includes qualifying, visiting and probationary students as well as people registered in post-baccalaureate certificates or postgraduate diplomas.

Table 3.1. Total convocants.

Degree	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017
PhD	369	371	352	395	376	464	469	478	477	436
Thesis-based Master's	509	505	542	628	639	618	652	558	589	618
Course-based Master's	628	719	939	890	862	998	897	987	900	981
Other	1	9	2	5	16	22	23	17	35	37
Total	1507	1602	1835	1914	1890	2095	2038	2037	1998	2072

Source: Strategic Analysis and Data Warehousing – accessed December 7, 2017.
Notes: 1) convocation year = calendar year (January 1 to December 31); 2) includes June and November convocations of a particular year; 3) "other" includes qualifying, visiting and probationary students as well as people registered in post baccalaureate certificates or postgraduate diplomas.

3.2. Completion Times

Good programs focus on completion rates, completion times, and quality of experience. Sometimes these can pull in different directions. For instance, since Fall 2016, graduate students who are pursuing internships or similar opportunities have had the option to take professional leaves. Graduate students may also take medical, childbirth, parental and compassionate leaves. We view these as important concessions, and the analysis below demonstrates that time on leave has increased only slightly. Research suggests that being eligible for leaves can increase completion rates, which is good.

As shown in Table 3.2, the time to completion for doctoral students is approaching six years and time for thesis-based Master's degrees approaches three years, in spite of efforts to reduce completion times. At a time when our graduate students are moving predominantly to careers that are not academic in nature, the trend is worrying. We need to start analyzing the reasons behind completion times and ensure that funding, program requirements and time to degree have a rational relationship.

Completion times for course-based Master's programs have become somewhat shorter (Table 3.2), possibly because they have a higher proportion of international students, who consistently demonstrate shorter completion times (Table 3.3).

Readers of previous graduate enrolment reports will note that all average completion times presented this year are shorter than those from past reports. This is due to a change in the methodology used to calculate completion times. This new calculation measures individual students' completion time to the nearest month, rather than to the next full year. This updated method reflects a change being led by Strategic Analysis and Data Warehousing to reflect our graduate students' completion times more precisely.

Table 3.2. Average completion time in years by degree type.

Convocation Year	PhD	M-T	M-C	Average LOA
2008	5.76	2.94	2.65	0.70
2009	5.73	2.93	2.56	0.79
2010	6.01	2.87	2.39	0.74
2011	5.76	2.79	2.31	0.71
2012	5.75	2.81	2.39	0.66
2013	5.71	2.77	2.37	0.79
2014	5.60	2.79	2.31	0.84
2015	5.76	2.78	2.32	0.74
2016	5.73	2.84	2.37	0.84
2017	5.72	2.84	2.36	0.85

M-T = Thesis-Based Master's, M-C = Course-Based Master's (D=Domestic) (Int.=International), LOA = Leave of Absence

Source: Strategic Analysis and Data Warehousing – accessed January 26, 2018.
Notes: 1) convocation year = calendar year (January 1 to December 31); 2) completion time calculated as: first term of attendance to milestone completion date; 3) time spent in an official leave of absence (LOA) has not been deducted from the total completion time; 4) excludes students in other program categories (qualifying, visiting and probationary students and those registered in post-baccalaureate certificates or postgraduate diplomas); 5) this represents a methodological change. Historical data has been restated, with number of years now calculated to one decimal place at the individual student level.

As shown in Table 3.3, international graduate students complete their degrees faster than domestic students in every single year, in every type of degree. International students also take fewer/shorter leaves of absence, on average.

Table 3.3. Average completion times in years by citizenship.

Convocation Year	PhD		M-T		M-C		Average LOA	
	D	Int	D	Int	D	Int	D	Int
2008	5.82	5.27	3.05	2.54	2.70	2.04	0.67	0.67
2009	5.81	4.96	3.04	2.65	2.60	2.17	0.81	0.50
2010	6.11	5.37	3.00	2.54	2.44	1.97	0.76	0.50
2011	5.89	4.96	2.91	2.59	2.42	1.80	0.71	0.50
2012	5.97	4.83	2.94	2.58	2.53	1.80	0.70	0.38
2013	5.92	5.01	2.96	2.51	2.52	1.74	0.82	0.64
2014	5.92	4.90	2.98	2.53	2.43	1.68	0.91	0.58
2015	6.05	5.11	3.01	2.55	2.47	1.70	0.79	0.56
2016	6.07	5.17	3.00	2.58	2.56	1.71	0.88	0.60
2017	6.15	5.10	2.96	2.66	2.56	1.67	0.93	0.58

M-T = Thesis-Based Master's, M-C = Course-Based Master's (D=Domestic) (Int.=International), LOA = Leave of Absence

Source: Strategic Analysis and Data Warehousing – accessed January 26, 2018.
Notes: 1) convocation year = calendar year (January 1 to December 31); 2) completion time calculated as: first term of attendance to milestone completion date; 3) time spent in an official Leave of Absence (LOA) has not been deducted from the total completion time; 4) domestic = Canadian citizens and permanent residents; 5) international = students attending the university on a study/work visa at time of completion; (6) excludes students in other program categories (qualifying, visiting and probationary students and those registered in post-baccalaureate certificates or postgraduate diplomas); 7) this represents a methodological change. Historical data has been restated, with number of years now calculated to one decimal place at the individual student level.

3.3. Attrition and Completion Rates

To determine our completion and attrition rates, we first divide each cohort of graduate students starting in a given academic year into three groups: those who were still active as of the end of spring term; those who have convocated; and those who have left the university without any credential. Students currently recorded as active may either convocate or leave their program without a degree. Thus attrition rates become increasingly speculative as we move toward the present.

In Table 3.4, we did not calculate attrition and completion rates for cohorts that fall within the average time to completion of a PhD (~6 years, or 2012-2013) and this masks the Master's rates. The program-specific tables (Tables 3.5-3.7) break out this information more fully.

Table 3.4. Attrition and completion rates by year.

	Applicants Registered	Completed	Still Active	Program Not Completed	Attrition Rate	Completion Rate
1999-00	1,284	1,035	0	249	19%	81%
2000-01	1,351	1,143	0	208	15%	85%
2001-02	1,441	1,209	0	232	16%	84%
2002-03	1,630	1,379	0	251	15%	85%
2003-04	1,739	1,481	0	258	15%	85%
2004-05	1,654	1,403	2	249	15%	85%
2005-06	1,601	1,361	5	235	15%	85%
2006-07	1,825	1,539	10	276	15%	84%
2007-08	2,026	1,719	17	290	14%	85%
2008-09	2,085	1812	16	257	12%	87%
2009-10	2,367	2032	69	266	~11%	~86%
2010-11	2222	1865	114	243	~11%	~84%
2011-12	2337	1891	210	236	~10%	~81%
2012-13	2275	1609	435	231	N/A	N/A
2013-14	2331	1523	608	200	N/A	N/A
2014-15	2171	1042	991	138	N/A	N/A
2015-16	2200	451	1631	118	N/A	N/A
2016-17	2458	38	2374	46	N/A	N/A
Fall 2017*	1882	0	1882	0	N/A	N/A

Source: Extracted from PeopleSoft; internal script, accessed November 21, 2017.
*Fall term data only.
Notes: 1) figures are calculated taking into account the convocant's program at the time of admission; 2) excludes students in other program categories (qualifying, visiting and probationary students as well as people registered in post baccalaureate certificates or postgraduate diplomas).

Table 3.5 presents doctoral attrition and completion rates. As noted above, we do not report the rates for cohorts that fall within the six-year completion time for a PhD. Tracking the absolute number of convocating, still active and remaining students is useful to view over time, and that is why those figures have been reported here.

Doctoral attrition remains an area of concern. PhD completion rate should never be 100% because a PhD is not for everybody—some students do not have the ability and some students have the ability but choose not to finish. Importantly, these tables do not indicate *when* students leave the PhD program. It is particularly expensive to both students and the institution when doctoral students leave late in their programs. The rule that students complete candidacy exams within the first 36 months of a PhD program is designed to provide a solid checkpoint before students get too far along.

Table 3.5. Doctoral attrition and completion rates.

	Applicants Registered	Completed	Still Active	Program Not Completed	Attrition Rate	Completion Rate
1999-00	327	231	0	96	29%	71%
2000-01	351	267	0	84	24%	76%
2001-02	386	300	0	86	22%	78%
2002-03	413	325	0	88	21%	79%
2003-04	440	354	0	86	20%	80%
2004-05	392	283	2	107	27%	72%
2005-06	376	280	3	93	25%	74%
2006-07	455	344	9	102	22%	76%
2007-08	450	347	14	89	20%	77%
2008-09	477	384	9	84	18%	81%
2009-10	547	412	57	78	~14%	~75%
2010-11	508	351	83	74	~15%	~69%
2011-12	502	293	134	75	~15%	~58%
2012-13	532	168	285	79	N/A	N/A
2013-14	469	66	352	51	N/A	N/A
2014-15	458	19	391	48	N/A	N/A
2015-16	452	5	405	42	N/A	N/A
2016-17	429	0	414	15	N/A	N/A
Fall 2017*	390	0	390	0	N/A	N/A

Source: PeopleSoft; internal script, accessed November 21, 2017.
*Fall term data only.
Note: figures are calculated taking into account the convocant's program at the time of admission, which has implications for students who move from Master's to PhD programs without formally reapplying (and, conversely, for students who are repositioned in Master's programs from the doctoral programs they entered, usually as a result of a failed candidacy exam.

In general, Master's completion rates are rising (Tables 3.6 and 3.7). Over the past 10 years, average completion times for thesis-based and course-based Master's degrees, respectively are approximately 2.8 years and 2.4 years. We have not reported attrition and completion rates for cohorts within the average three-year completion time of a Master's degree.

Table 3.6. Thesis-based Master's attrition and completion rates.

	Applicants Registered	Completed	Still Active	Program Not Completed	Attrition Rate	Completion Rate
1999-00	534	451	0	83	16%	84%
2000-01	556	487	0	69	12%	88%
2001-02	585	504	0	81	14%	86%
2002-03	674	581	0	93	14%	86%
2003-04	643	560	0	83	13%	87%
2004-05	646	566	0	80	12%	88%
2005-06	613	532	1	80	13%	87%
2006-07	649	562	1	86	13%	87%
2007-08	702	599	3	100	14%	85%
2008-09	726	638	4	84	12%	88%
2009-10	801	718	9	74	9%	90%
2010-11	689	598	18	73	11%	87%
2011-12	740	612	55	73	10%	83%
2012-13	782	597	109	76	10%	76%
2013-14	752	533	156	63	~8%	~71%
2014-15	748	426	282	40	~5%	~57%
2015-16	762	127	601	34	N/A	N/A
2016-17	840	1	825	14	N/A	N/A
Fall 2017*	673	0	673	0	N/A	N/A

Source: PeopleSoft; internal script, accessed November 21, 2017.
*Fall term data only.
Notes: (1) figures are calculated taking into account the convocant's program at the time of admission; (2) excludes students in other program categories (qualifying, visiting and probationary students and those registered in post-baccalaureate certificates or postgraduate diplomas).

Table 3.7. Course-based Master's attrition and completion rates.

	Applicants Registered	Completed	Still Active	Program Not Completed	Attrition Rate	Completion Rate
1999-00	423	353	0	70	17%	83%
2000-01	444	389	0	55	12%	88%
2001-02	470	405	0	65	14%	86%
2002-03	543	473	0	70	13%	87%
2003-04	656	567	0	89	14%	86%
2004-05	616	554	0	62	10%	90%
2005-06	612	549	1	62	10%	90%
2006-07	721	633	0	88	12%	88%
2007-08	874	773	0	101	12%	88%
2008-09	882	790	3	89	10%	90%
2009-10	1,019	902	3	114	11%	89%
2010-11	1025	916	13	96	9%	89%
2011-12	1095	986	21	88	8%	90%
2012-13	961	844	41	76	8%	88%
2013-14	1110	924	100	86	~8%	~83%
2014-15	965	597	318	50	~5%	~62%
2015-16	986	319	625	42	N/A	N/A
2016-17	1189	37	1135	17	N/A	N/A
Fall 2017*	819	0	819	0	N/A	N/A

Source: PeopleSoft; internal script, accessed November 21, 2017.

*Fall term data only.

Notes: (1) figures are calculated taking into account the convocant's program at the time of admission; (2) excludes students in other program categories (qualifying, visiting and probationary students and those registered in post-baccalaureate certificates or postgraduate diplomas).

4. Implications

Graduate education at the University of Alberta is in good shape. Demand for our programs is high, as evidenced by a marked increase in total applications. Enrolment in certificate programs has grown considerably. Our course-based Master's programs are tapping into a market demand and proving very popular. Enrolment of Indigenous students is at an all-time high. As noted in the Dean's message, applications from international students rose significantly from the previous year, almost 40%. Increasing international applications for graduate studies is a Canada-wide trend and reflects the rising tide of isolationism and exclusion in the United States and Europe.

While we take delight in the good news about demand, to focus solely on enrolment numbers would discount important issues that affect the quality of graduate education. These include minimum funding guarantees for PhD students (FGSR is leading this discussion on campus) and offering programs and supports that open up a broad range of career pathways to graduate students. We continue to draw insights and learning from the PhDiversification project, now in its second year. It is developing a strategy that supports our doctoral students' transition from degree to broader career paths outside academia. FGSR is also leading the conversation about learning outcomes, which have a positive effect on completion rates.

Another area of interest is completion and attrition. These measures are indicators of the "health" of graduate programs, particularly student success and student experience. Graduate study is a significant commitment and failure to complete a degree or a lengthy completion time may indicate a negative experience. Of course not all students complete their degrees, and in some cases this is the most reasonable outcome for the student, either academically or personally.

For perspective, we compared graduate student completion rates and times with our U15 peers. For Master's programs, the University of Alberta completion rate (degree completion after five years) is 9% higher than the U15 average, and average completion time is one term longer. Similarly, for doctoral programs, our completion rate (degree completion after nine years) is 6% higher than the U15 average, with average completion times similar to the U15 average. While we are generally in line with our Canadian peers, our completion times (an average 6.3 years to complete a PhD by U15 calculation methods) remain concerning and we at FGSR believe that this issue merits further study.

In the coming months, FGSR will study and report on completion times in an effort to bring more clarity to the issue. We will look for relationships between completion time and program, field of study, international vs domestic students, time to doctoral candidacy exam completion, and point of incompletion. We hope this information will be a catalyst for a university-wide discussion about completion times and what actions are appropriate to improve them. We can use this understanding to better support graduate students throughout their studies so they can successfully complete their degrees.

Graduate education is a vital component of economic development and an investment in solutions for the future. It's critical that we get it right, for Alberta and Canada. To this end, the Graduate Enrolment Report is designed as a resource, illuminating trends and providing insights into where we should focus efforts to support the critical thinkers and innovators who will be essential to Canada's continued prosperity.