



Monday, November 26, 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 October 22, 2018   | David Turpin |
| 3. Report from the President<br>- update - Clean Air Strategy<br>- update - ad hoc recommendations<br>- update – Faculty of Pharmacy and Pharmaceutical Sciences Fall Reading Week | David Turpin |

**ACTION ITEMS**

- |                                       |              |
|---------------------------------------|--------------|
| 4. New Members of GFC                 | David Turpin |
| <i>Motion: To Appoint New Members</i> |              |

**EARLY CONSULTATION**

- |   |  |
|---|--|
| 5. Council on Student Affairs (COSA) - Terms of Reference | Akanksha Bhatnagar<br>Masoud Aliramezani<br>Tammy Hopper |
|---|--|

**ACTION ITEMS**

- |  |   |
|--|---|
| 6. Proposed Changes to the Doctor of Medicine (MD) Program Admissions for Aboriginal Applicants, Faculty of Medicine and Dentistry | Tammy Hopper<br>Dennis Kunimoto<br>Shirley Schipper |
| <i>Motion: To Approve</i>  |   |
| 7. Proposed Revisions to Standing Committee Terms of Reference - GFC University Teaching Committee (UTAC)                          | Pierre Lemelin                                      |
| <i>Motion: To Approve</i>  |   |

**DISCUSSION ITEMS**

- |   |                               |
|---|-------------------------------|
| 8. Digital Scholarship Centre                         | Dale Askey                    |
| 9. Update on Tri-Council Draft Data Management Policy | Matthias Ruth<br>Steven Dew   |
| 10. New Budget Model                                  | Gitta Kulczycki<br>Steven Dew |
| 11. Board/GFC/Senate Summit (no documents)            | David Turpin                  |
| 12. Question Period                                   | David Turpin                  |

**12.1 Question:** from Dilini Vethanayagam, GFC elected faculty member, regarding university's use of gmail

**12.2 Question:** from Carolyn Sale, GFC elected faculty member, regarding Signature Areas

### **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.]*

13. Report of the GFC Executive Committee
14. Report of the GFC Academic Planning Committee
15. Report of the GFC Academic Standards Committee
16. GFC Nominations and Elections
  - Report of Nominating Committee, November 14, 2018
  - [Current Vacancies](#)
17. Information Items
  - A. General Appeals Committee (GAC) Annual Report to General Faculties Council (July 1, 2016 - June 30, 2017)
  - B. 2017/18 Annual Report of Student Conduct Responses, Dean of Students' Portfolio
  - C. Annual Report of the Appeals and Compliance Officer (2017-2018)
  - D. Annual Report on Undergraduate Financial Support
18. Information Forwarded to GFC Members Between Meetings (no items to date)

### **CLOSING SESSION**

19. Board/GFC/Senate Summit: January 25, 2018
20. Next meeting of GFC: January 28, 2019

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](http://www.governance.ualberta.ca)



Meeting of November 26, 2018

ITEM 4 - New Members of GFC

**MOTION I: TO APPOINT/REAPPOINT** *[This motion may be proposed only by statutory members of GFC – VPs, Deans, statutory students or elected faculty members]:*

The following undergraduate student representatives at-large to serve on GFC for terms commencing November 26, 2018 and ending April 30, 2019:

Melinda Chisholm – Business

Ayman Adwan – Engineering

Anthony Nguyen – Nursing

Ivy Porter – Science

Item No. 5

**Governance Executive Summary  
Advice, Discussion, Information Item**

Agenda Title: **Early Consultation: Council on Student Affairs (COSA) Draft Terms of Reference**

**Item**

Proposed by	The COSA Working Group
Presenter	Tammy Hopper, Vice-Provost (Programs) Akanksha Bhatnagar, Vice President (Academic), Students' Union Masoud Aliramezani, Vice-President (Academic), Graduate Students' Association

**Details**

Responsibility	General Faculties Council
The Purpose of the Proposal is (please be specific)	To discuss the draft Terms of Reference for COSA.
Executive Summary <i>(outline the specific item– and remember your audience)</i>	<p>According to the Post-Secondary Learning Act (PSLA), Section 32:</p> <p><i>(1) A general faculties council may establish a council on student affairs to exercise immediate jurisdiction over student affairs with respect to any matters and in any manner the general faculties council determines and to exercise or perform any other powers, duties and functions the general faculties council determines.</i></p> <p><i>(2) A council on student affairs may consist of</i></p> <p><i>(a) members of the academic staff of the university,</i></p> <p><i>(b) students of the university, and</i></p> <p><i>(c) officers of the university who have administrative responsibility for student affairs.</i></p> <p><i>(3) A council on student affairs may make bylaws governing the calling of its meetings and the quorum and conduct of business at its meetings and generally as to the conduct of its affairs.</i></p> <p>The Council on Student Affairs was first established by GFC at the University of Alberta in 1966, later renamed as the Council on Student Services in the 70's, then to the Council on Student Life in 1989. In 2000, the body was renamed the Council on Student Affairs (COSA) and its Terms of Reference were revised.</p> <p>The most recent Terms of Reference for COSA were approved by GFC in November 2000, with minor amendments by GFC Executive Committee in 2005 and 2011.</p> <p>The Ad hoc Committee on Academic Governance Including Delegated Authority reviewed the scope and activities of COSA and noted that there seemed to be a lack of clarity on the role and mandate of COSA and how it fits into university governance.</p> <p>Although COSA's current Terms of Reference were approved by GFC and COSA reports annually to GFC, COSA does not exist under the same governance structure of GFC and its standing committees.</p>

The ad hoc Report noted that COSA held infrequent meetings and had periods of inactivity; thus, they recommended that COSA be re-imagined to become a more formal part of the governance system and that the GFC Executive Committee establish a working group to revise COSA Terms of Reference to be in alignment with the guiding principles of GFC.

As per the ad hoc Report recommendations, a COSA Working Group was established by the GFC Executive Committee in November 2017 with the following composition:

Tammy Hopper (Professor and Vice Provost (Programs) (Chair))

Andre Costopoulous, Vice Provost and Dean of Students

Lisa Collins, Vice Provost and University Registrar

Firouz Khodayari and Masoud Aliramezani, Graduate Student Association

Shane Scott and Akanksha Bhatnagar, Students' Union

Frank Robinson, Professor and Former Dean of Students

The mandate of the COSA Working Group is to examine the role, necessity, and mandate of COSA, as well as its place within the formal structure of academic governance at the University of Alberta.

During the course of its work reviewing COSA, the COSA Working Group learned that there are several advisory and/or administrative committees in which students are invited to participate, including:

Provosts' Office:

TBAC (Tuition Budget Advisory Committee)

MNIF Oversight Committee

Council on Experiential Learning

COSA Working Group

Registrar's Office:

SURO: This is a quarterly meeting of RO senior leadership and the SU Executives

The RO Student Advisory Committee: The membership is entirely students administered and supported by the RO Volunteer Management & Partnerships group.

Dean of Students' Office:

Dean's Advisory Council: There is a strong focus on student diversity for this committee to ensure that there is broad representation (e.g. from different campuses, faculties, domestic/international, considering equity/diversity/inclusivity, etc.).

Dean of Students Awards Committee

Academic Integrity Council

Sexual Violence Prevention & Response Advisory Council

Item No. 10

	<p>Various working groups focused on student health/support/needs</p> <p>In addition to organizing and chairing COSA Working Group meetings, the Chair met with COSA, members of the GFC Student Caucus, members of the SU, as well as a former member of GFC and COSA. Based on feedback from these groups, the following Draft Terms of Reference are being proposed for feedback.</p> <p>Questions to consider for discussion at the GFC Executive Committee and General Faculties Council:</p> <ol style="list-style-type: none"> <li>1. When GFC first established COSA, student representation on GFC and GFC Standing Committees was non-existent to minimal. This is not the case presently. Does GFC see a continued need for COSA to exist at the University of Alberta?</li> <li>2. If so, is the proposed mandate of COSA appropriate?</li> <li>3. Keeping in mind the <u>Principles for General Faculties Council Standing Committee Composition</u> is the proposed membership for a renewed COSA adequate?</li> </ol>
Supplementary Notes and context	<This section is for use by University Governance only to outline governance process.>

**Engagement and Routing** (Include proposed plan)

Consultation and Stakeholder Participation	<p>Those who have been consulted:</p> <p>COSA Working Group: November 23, 2017; February 9, 2018; April 24, 2018; June 13, 2018 (via email)</p> <p>COSA: February 6, 2018; April 3, 2018</p> <p>Students' Union (SU) GFC Caucus: February 22, 2018; April 25, 2018</p> <p>Ms Alicia Cappello (former GFC and COSA member): February 6, 2018</p> <p>Transition Committee</p> <p>Those who are actively participating:</p> <p>GFC Executive Committee: September 10, 2018</p> <p>GFC: September 24, 2018</p>
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**Strategic Alignment**

Alignment with <i>For the Public Good</i>	<p><b>OBJECTIVE 21:</b> 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.</p> <p><b>Strategy 1</b> Encourage transparency and improve communication across the university through clear consultation and decision-making processes, substantive and timely communication of information, and access to shared, reliable institutional data.</p>
Alignment with Institutional Risk Indicator	<p><b>Reputational Risks</b> Risk: Relationships with Stakeholders If the university does not establish and maintain constructive relationships with its key stakeholders, it could fail to achieve its academic mission and goals.</p>
Legislative Compliance and	Post-Secondary Learning Act

Item No. 10

jurisdiction	GFC Executive Committee Terms of Reference GFC Terms of Reference Report of the ad hoc Committee on Academic Governance Including Delegated Authority
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Attachment:

1. Draft COSA Terms of Reference

*Prepared by:* Andrea Patrick, Portfolio Initiatives Manager, Office of the Provost and Vice-President (Academic), [apatrick@ualberta.ca](mailto:apatrick@ualberta.ca)



## **1. Mandate and Role of the Committee**

The Council on Student Affairs is a standing committee of General Faculties Council (GFC) charged with providing considered input aimed at ensuring proposals and policies before GFC are evaluated in light of their impact on students at the University of Alberta.

## **2. Areas of Responsibility**

- Promote continued improvement of programs and policies related to **student academic affairs**
- Review proposals and policies related to **student academic affairs**

## **3. Composition**

### **Voting Members (17)**

#### ***Ex-officio (5)***

- Provost and Vice-President (Academic) (or delegate), Chair
- Vice-Provost and Dean of Students (or delegate)
- President, Students' Union (or delegate)
- President, Graduate Students' Association (or delegate)
- Vice-Provost and University Registrar (or delegate)

#### ***Elected by and from GFC (12)***

- 8 undergraduate student members of GFC
- 2 graduate student members of GFC
- 2 academic staff members of GFC (1 as Vice-Chair)

#### ***Non-Voting Members (9)***

- Delegate, Council of Residence Associations
- Representative, Inter-Fraternity Council, selected by IFC
- Representative, Panhellenic Council, selected by Panhellenic Council
- Representative, University Libraries
- Representative, University Student Services
- Representative, International Students' Association, selected by the International Students' Association
- Representative, Aboriginal Students' Council, selected by Aboriginal Students' Council
- Representative, Council of Faculty Associations, selected by COFA
- Representative, University Athletics Board, selected by UAB

## **4. Delegated Authority from General Faculties Council**

None

## **5. Responsibilities Additional to Delegated Authority**



- 
- 5.1 Review and recommend to the GFC standing committees and GFC on various issues related to teaching and learning, academic programs, research, student financial support, student accessibility, significant changes to the academic schedule, student conduct, planning, and facilities
  - 5.2 Review of issues may be requested by GFC, its standing committees, or initiated by the Council on Student Affairs

**6. Limitations to Authority**

None

**7. Reporting**

Reports regularly to GFC on activities and recommendations

**8. Definitions**

Student Academic Affairs: Activities, directly related to education and learning, that occur as part of a student's regular course work or program of study

**9. Links**

Approved by General Faculties Council: [date]

FINAL Item No. 6

**Governance Executive Summary  
Action Item**

<b>Agenda Title</b>	<b>Proposed Changes to the Doctor of Medicine (MD) Program Admissions for Aboriginal Applicants, Faculty of Medicine and Dentistry</b>
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**Motion**

THAT General Faculties Council approve the proposed changes to the Doctor of Medicine (MD) Program Admissions for Aboriginal Applicants, as proposed by the Faculty of Medicine and Dentistry, as recommended by the GFC Academic Standards Committee and the GFC Executive Committee, and as set forth in Attachment 1, to take effect as soon as possible.

**Item**

Action Requested	<input checked="" type="checkbox"/> Approval <input type="checkbox"/> Recommendation
Proposed by	Dennis Kunimoto, Acting Dean, Faculty of Medicine and Dentistry (FoMD)
Presenter(s)	Tammy Hopper, Chair, GFC Academic Standards Committee Shirley Schipper, Vice-Dean Education, FoMD

**Details**

Responsibility	Provost and Vice-President (Academic)
The Purpose of the Proposal is <i>(please be specific)</i>	The purpose of this proposal is to remove the limit of five students admitted to the MD program through the Indigenous admissions selection process and allow for all eligible applicants through this process to be recommended for admission to the MD Admissions Committee. In light of the underrepresentation of Indigenous peoples in health professions, and the University's commitment to a respectful, meaningful, and sustainable response to the Truth and Reconciliation Calls to Action, it is recommended that the changes take effect upon approval.
Executive Summary <i>(outline the specific item – and remember your audience)</i>	<p>The total number of students admitted to the MD program each year is determined by a quota set by the Province of Alberta.</p> <p>There are currently two streams for entry into the MD program for self-declared Aboriginal applicants. Applicants may choose to apply to the program through the general admission process, or alternatively through the Indigenous admissions selection process. The Indigenous admissions process maintains the academic requirements of the general process but includes alternate assessment methods which are more culturally appropriate. Applications are considered by the Indigenous Health Initiatives (IHI) Admission Committee who subsequently makes recommendations to the MD Admissions Committee. In accordance with accreditation requirements for the program, it is the MD Admissions Committee that makes the final admission decisions for students entering the program from both streams.</p> <p>Currently there are up to five positions set aside for students applying through the Indigenous admissions selection process. There is no change proposed to the current admission processes. Rather, the proposal would remove the limitation on the number of students admitted through that process thus allowing all students who are successful in this process to be recommended for admission to the MD Admissions</p>

Item No. 6

Committee.

This concept was discussed at Faculty Council on a number of occasions. A proposal was put forth to increase the number of seats reserved for the Indigenous admission process from five seats to fifteen seats, and that proposal was subsequently approved on May 22, 2018. During that meeting, a discussion regarding full removal of the limit on reserved seats allowing for all those applying through the Indigenous admission process to be recommended for admission took place, followed by an extraordinary meeting of the Faculty Council to vote on the motion to lift the restriction on June 26, 2018. The Faculty Council choice to revise the initial proposal and move directly to the proposal presented here is a demonstration of the strong support for the urgency of increasing Indigenous representation within the Faculty and within health care professions.

Increasing Indigenous representation across FoMD has been our mandate for the past 30 years. Work on this proposal has been active during the past year, and the Faculty has communicated widely with current staff and students, potential students, and communities during this time. In addition, substantial efforts continue to recruit Indigenous applicants to the MD program have been undertaken.

*Impacts and Outcomes of Removing the Limit to Seats Available through the Indigenous Applicant Process:*

By implementing this proposal, the Faculty of Medicine & Dentistry (FoMD) would become the most responsive program in Canada to the issue of the underrepresentation of Indigenous peoples in health professions.

It is anticipated that the number of students admitted to the program who meet criteria (academic and IHIP) would double, or triple. This would create a “critical mass” of Indigenous physicians who are important and leading edge change agents in Indigenous health specifically, and across the healthcare system (and others). It would also create a “critical mass” of students which would reduce alienation and isolation of Indigenous peoples, and contribute to student success within the FoMD.

*Background and Context:*

The FoMD is well-positioned to be more responsive to the underrepresentation of Indigenous peoples within the FoMD. In 1988, the Faculty established the Indigenous Health Initiatives Program (IHIP) with the mandate to help address the under-representation of First Nations, Inuit and Métis people in the medical professions. This mandate is advanced through the special admissions status in the MD, DDS, Dental Hygiene (DH), and Medical Laboratory Sciences (MLS) programs.

We have the capacity to advance a more meaningful response to the worsening health outcomes among Indigenous peoples and the national change agents and change imperatives - re: Truth and Reconciliation Commission, 2015 (TRC) and The Royal Commission on Aboriginal Peoples, 1996 (RCAP).

The Royal Commission on Aboriginal Peoples called for training of 10,000 Indigenous peoples in the healthcare field by 2006 (or 1000 per year). If distributed across all medical schools (17), this amounts to 59

Item No. 6

	<p>Indigenous peoples per medical school per year. Over two decades after the RCAP, it is estimated that we are less than halfway to the goal of 10,000.</p> <p>The TRC calls on all levels of government and those who can affect change to take meaningful action to address the deep and persistent inequities experienced disproportionately by First Nations, Inuit and Metis peoples.</p> <p>Actions taken by those within systems supports redressing the legacy of Indian Residential Schools and advances the process of reconciliation.</p> <p>Call to Action #23 (i): “We call upon all levels of government to: (i) increase the number of Aboriginal professionals working in the healthcare field.”</p> <p>An increase in the number of Indigenous physicians has an important impact on Indigenous health outcomes. These professionals are a vital part of supporting improved health outcomes of all people, but to Indigenous peoples specifically.</p> <p>Indigenous physicians understand lived reality of Indigenous patients; provide culturally-safe care that reduces mistrust, anxiety, and fear that arises from historical mistreatment of Indigenous peoples within the health care system and as a result of Indian Residential schools.</p>
<p>Supplementary Notes and context</p>	<p>The GFC Academic Standards Committee has delegated authority from General Faculties Council to approve Faculty specific changes to admission requirements.</p> <p>GFC Academic Standards Committee (ASC) has determined not to exercise its delegated authority to approve this change but rather to recommend that General Faculties Council approve for the following reasons:</p> <ul style="list-style-type: none"> <li>• it is a strategic issue of broad relevance which is relevant not only to health care Faculties, but to the entire institution</li> <li>• it illustrates the work of the Faculty of Medicine and Dentistry to respond to the Truth and Reconciliation Commission Calls to Action, and the commitment included in For the Public Good</li> <li>• it provides an opportunity for General Faculties Council to engage in discussion on an issue of vital importance to the institution, and to share this across all Faculties.</li> </ul>

**Engagement and Routing** (Include meeting dates)

<p>Consultation and Stakeholder Participation (parties who have seen the proposal and in what capacity)</p>	<p><u><b>Those who are actively participating:</b></u></p> <ul style="list-style-type: none"> <li>• Dr. Shirley Schipper, Vice-Dean, Education, FoMD</li> <li>• Dr. Sita Gourishankar, Assistant Dean, Admissions, MD Program</li> <li>• Dr. Jill Konkin, Associate Dean, Community Engagement</li> <li>• Ms. Tibetha Kemble, Director, Indigenous Health</li> </ul>
<p>&lt;For information on the protocol see the <a href="#">Governance Resources section Student Participation Protocol</a>&gt;</p>	<p><u><b>Those who have been consulted:</b></u></p> <ul style="list-style-type: none"> <li>• Faculty Council – approval of concept – June 26, 2018</li> <li>• Faculty Learning Committee – approval – August 20, 2018</li> <li>• Faculty Council – (for review of wording) September 13, 2018</li> <li>• Office of the Registrar, Calendar Production – consulted/informed</li> <li>• Dr. Tammy Hopper, Vice-Provost (Programs)</li> </ul>

Item No. 6

	<ul style="list-style-type: none"> <li>• Medical Students' Association (MSA)</li> <li>• Admissions Quota Working Group – April 23, 2018             <ul style="list-style-type: none"> <li>○ FoMD Office of Advocacy &amp; Wellbeing</li> <li>○ FoMD Rural &amp; Regional Health</li> </ul> </li> <li>• Indigenous Health Initiatives (IHI) Admissions Committee – June 19, 2018</li> </ul> <p><i><u>Those who have been informed:</u></i></p> <ul style="list-style-type: none"> <li>• MD Program Admissions Committee – September 17, 2018</li> </ul>
Approval Route (Governance) (including meeting dates)	Academic Standards Committee (for discussion) – June 21, 2018 ASC Subcommittee on Standards (for discussion) – October 4, 2018 GFC Academic Standards Committee – October 18, 2018 GFC Executive Committee – November 19, 2018 General Faculties Committee – November 26, 2018

**Strategic Alignment**

Alignment with <i>For the Public Good</i>	<p>Objective 1 - Build a diverse, inclusive community of exceptional undergraduate and graduate students from Edmonton, Alberta, Canada, and the world.</p> <p>Objective 4 - Develop, in consultation and collaboration with internal and external community stakeholders, a thoughtful, respectful, meaningful, and sustainable response to the report of the <a href="#">Truth and Reconciliation Commission of Canada</a>.</p> <p>Objective 9 - Enhance, support, and mobilize the unique experiences and cultures of all University of Alberta campuses to the benefit of the university as a whole.</p>			
Alignment with Institutional Risk Indicator	<p>Please note below the specific institutional risk(s) this proposal is addressing.</p> <table border="0" style="width: 100%;"> <tr> <td style="width: 50%; vertical-align: top;"> <input checked="" type="checkbox"/> Enrolment Management  <input type="checkbox"/> Faculty and Staff  <input type="checkbox"/> Funding and Resource Management  <input type="checkbox"/> IT Services, Software and Hardware  <input type="checkbox"/> Leadership and Change  <input type="checkbox"/> Physical Infrastructure             </td> <td style="width: 50%; vertical-align: top;"> <input checked="" type="checkbox"/> Relationship with Stakeholders  <input checked="" type="checkbox"/> Reputation  <input type="checkbox"/> Research Enterprise  <input type="checkbox"/> Safety  <input checked="" type="checkbox"/> Student Success             </td> </tr> </table>		<input checked="" type="checkbox"/> Enrolment Management <input type="checkbox"/> Faculty and Staff <input type="checkbox"/> Funding and Resource Management <input type="checkbox"/> IT Services, Software and Hardware <input type="checkbox"/> Leadership and Change <input type="checkbox"/> Physical Infrastructure	<input checked="" type="checkbox"/> Relationship with Stakeholders <input checked="" type="checkbox"/> Reputation <input type="checkbox"/> Research Enterprise <input type="checkbox"/> Safety <input checked="" type="checkbox"/> Student Success
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Legislative Compliance and jurisdiction	Post-secondary Learning Act GFC Academic Standards Committee Terms of Reference Principles for GFC Delegation of Authority			

Attachments (each to be numbered 1 - 4)

1. MD Program Comparative Table (page(s) 1 - 2)
2. Letter from Medical Students' Association (page 1)
3. Letter from Indigenous students in MD program (page 1 - 2)
4. Letter from physicians from the Indigenous Wellness Clinic (page 1 - 2)
5. Indigenous Admissions to the MD Program Presentation (page(s) 1 - 14)
6. MD Admissions Presentation (page(s) 1 - 3)

*Prepared by:* Jocelyn Plemel, Executive Assistant to the Vice-Dean, Education, [jplemel@ualberta.ca](mailto:jplemel@ualberta.ca), with the assistance of University Governance

## Faculty of Medicine & Dentistry

### Proposed University Calendar Changes for 2019/2020

CURRENT	PROPOSED
<b>&lt;Calendar site thread goes here: ie. The Faculties/FoMD/Admission and Academic Regulations&gt;</b>	
<p><b>Doctor of Medicine (MD)</b></p> <p><b>Application for Admission and Application for Readmission</b></p> <p>Only electronic applications are accepted. To access the online application for the University of Alberta go to <a href="http://www.admissions.ualberta.ca">www.admissions.ualberta.ca</a>.</p> <p>The Faculty of Medicine and Dentistry offers a four-year program leading to the degree of Doctor of Medicine. As the number of applicants greatly exceeds the number of positions available in the program, a careful selection process is carried out, as described below.</p> <p>Applicants should be aware of the total length of time required to obtain a medical degree and following this a licence to practice. The usual time is normally three or four years to complete a baccalaureate degree; four years of medical studies, at which point the MD degree is awarded; and then a minimum of two years of residency before full licensure in Alberta.</p> <p>I. <b>Quotas</b> A quota exists in Medicine. 85% of the positions are reserved for Alberta residents and 15% of the positions are for Non-Alberta residents.</p> <p><b>Quota</b> positions are <b>available</b> for <b>qualified Aboriginal applicants (see section V) and qualified applicants from Rural communities (see section VI).</b></p> <p>[...]</p>	<p><b>Doctor of Medicine (MD)</b></p> <p><b>Application for Admission and Application for Readmission</b></p> <p>Only electronic applications are accepted. To access the online application for the University of Alberta go to <a href="http://www.admissions.ualberta.ca">www.admissions.ualberta.ca</a>.</p> <p>The Faculty of Medicine and Dentistry offers a four-year program leading to the degree of Doctor of Medicine. As the number of applicants greatly exceeds the number of positions available in the program, a careful selection process is carried out, as described below.</p> <p>Applicants should be aware of the total length of time required to obtain a medical degree and following this a licence to practice. The usual time is normally three or four years to complete a baccalaureate degree; four years of medical studies, at which point the MD degree is awarded; and then a minimum of two years of residency before full licensure in Alberta.</p> <p>I. <b>Quotas</b> A quota exists in Medicine. 85% of the positions are reserved for Alberta residents and 15% of the positions are for Non-Alberta residents.</p> <p><b>In addition,</b> positions are <b>reserved</b> for qualified applicants from Rural communities (see section VI).</p> <p>[...]</p>

<p>V. <b>Aboriginal Applicants</b></p> <p>The Faculty of Medicine and Dentistry may provide up to five positions within quota for the MD program to qualified Aboriginal applicants over and above Aboriginal applicants who were admitted in the regular process. Candidates will meet minimum admission requirements as outlined in <a href="#">Doctor of Medicine (MD)</a> and the approval by the Faculty of Medicine and Dentistry Admissions Committee. For more information, contact the Faculty of Medicine and Dentistry Undergraduate Admissions Office.</p> <p>Students who are of Aboriginal identity within the meaning of the Constitution Act, 1982, Section 35(2) will be considered in this category.</p> <p>Aboriginal student applicants and prospective pre-medical students should contact the Administrator, Indigenous Health Initiatives Program, Faculty of Medicine and Dentistry for individual counseling and career planning. See also <a href="#">Admission of Aboriginal Applicants</a>.</p>	<p>V. <b>Aboriginal Applicants</b></p> <p>The Faculty of Medicine and Dentistry is committed to the recruitment, retention and graduation of Aboriginal students. All Aboriginal applicants who meet the academic eligibility requirements as outlined in <a href="#">Doctor of Medicine (MD)</a> and who are successful in the Indigenous admissions process will be recommended by the Indigenous Admissions Subcommittee to the MD Admissions Committee for admission. For more information, contact the Faculty of Medicine and Dentistry Undergraduate Admissions Office.</p> <p>Students who are of Aboriginal identity within the meaning of the Constitution Act, 1982, Section 35(2) will be considered in this category.</p> <p>Aboriginal student applicants and prospective pre-medical students should contact the Administrator, Indigenous Health Initiatives Program, Faculty of Medicine and Dentistry for individual counseling and career planning. See also <a href="#">Admission of Aboriginal Applicants</a>.</p>
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**Rationale:** On June 26, 2018 the FoMD passed a motion to remove the upper quota limit for Aboriginal Applicants, to encourage more applications from Indigenous learners. The previous quota of 5 spaces was interpreted as limiting for many applicants. This amended wording is in alignment with the approved Faculty Council motion.

Faculty Learning Committee – August 20, 2018  
Faculty Council Committee (for review only) – September 13, 2018

**MSA Executives**

**President**

Eleanor Crawford  
[msapres@ualberta.ca](mailto:msapres@ualberta.ca)

**VP Administration**

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**VP Education**

Emily Chapman  
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**VP Student Affairs**

Paul Barber  
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**VP Community Engagement**

Bernadine Jugdutt  
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**VP External**

Julie Le  
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**VP Finance**

Daphne Cheung  
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**Class Representatives**

**Year I**

*Class of 2022*  
Elected September 2018

**Year II**

*Class of 2021*  
Jimmy Kang  
[jkang@ualberta.ca](mailto:jkang@ualberta.ca)

**Year III**

*Class of 2020*  
Jack Zhang  
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**Year IV**

*Class of 2019*  
Aran Yukseloglu  
[yukselog@ualberta.ca](mailto:yukselog@ualberta.ca)

November 12, 2018

RE: Admissions Changes for Indigenous Applicants

Dear General Faculties Council,

My name is Eleanor Crawford and I am the current President of the Medical Students' Association. On behalf of our Council and our students, it is my distinct pleasure to write to express our support for the new policy on admissions for Indigenous applicants. This decision reflects the values of our medical student community and our desire to support the growth of a diverse and inspired profession.

The history and health of Indigenous Peoples in Canada is taking an increasingly prominent role in our medical curriculum here at the University of Alberta. This education has promoted an awareness and desire for discourse and action. Due to the continued health inequities experienced by Indigenous communities and the underrepresentation of Indigenous physicians in medicine, the MSA recognizes the need for progressive change. We believe that many qualified Indigenous candidates may have been limited by the admissions quota and are therefore thrilled about the new policy that would see the upper limit of said quota removed for qualified candidates applying through the Indigenous stream.

Medical students play an important role in admissions: first-years volunteer as group leaders for interview day, second years and clerks interview candidates, and our Admissions Reps from all four years participate in file review and admissions decisions. As discussions around this change have progressed, student leaders have expressed support for it at every major decision-point along the way. From the Indigenous Health Initiatives Admissions Subcommittee, the Admissions Committee proper, and the Faculty of Medicine and Dentistry Faculty Council, student representatives from the MSA have consistently and passionately advocated for its approval. Moreover, we appreciate the work of the Students Union Vice-President Academic voicing their support for this proposal on behalf of the MSA at the Academic Standards Committee, Subcommittee on Standards, on October 4<sup>th</sup>, as well as the Academic Standards Committee on October 18<sup>th</sup>, in keeping with our desire to see this change realized.

Over the past few years, we have witnessed and benefited from a shift in the culture of admissions to better emphasize the lived experience of candidates and their capacity for reflection on those experiences. Now it is time for another shift: one that recognizes the inequity of our current system and challenges the assumptions of the establishment meritocracy. The MSA is excited for the community we will build along with our new colleagues from a myriad of backgrounds and hopes the General Faculties Council will support us in this endeavour.

Sincerely,



Eleanor Crawford  
President, Medical Students' Association  
Faculty of Medicine and Dentistry, University of Alberta  
[msapres@ualberta.ca](mailto:msapres@ualberta.ca)



November 13, 2018

*Re: Removing the Upper Limit on Indigenous Admissions to the MD Program*

Dear General Faculties Council:

As Indigenous students within the MD Program in the Faculty of Medicine & Dentistry at the University of Alberta, it is our distinct pleasure to provide this letter of support in respect of the above noted.

As you are aware, the under-representation of Indigenous health professionals has been a priority focus of the faculty since the Indigenous Health Initiatives Program was first established in 1988. Since that time, the IHIP has supported over 200 First Nation, Inuit, and Metis peoples as they enter into and graduate from the MD Program. We are proud to follow in the footsteps of so many Indigenous students who have pursued their journey into medicine and we are confident in our individual and collective ability to positively contribute to improving the health and well-being of Indigenous peoples and communities.

Although movement within the faculty to address the critical shortage of Indigenous physicians is important, we recognize that much remains to be done. Indeed, and as the Royal Commission on Aboriginal Peoples (RCAP) and the Truth and Reconciliation Commission have made clear, addressing the gap the RCAP estimated it would take 50 years to close will require bold, innovative, and meaningful approaches - such as the one put forward in this motion for your consideration. From a systems-level perspective, the proposal to remove the upper limit on Indigenous admissions has important implications on improving the disproportionately poor health status of Indigenous peoples by creating a 'critical mass' of Indigenous physicians who will have the skills, knowledge, and ability to readily meet the unique and distinct health needs of our communities of origin and the communities we serve. We are keenly aware of the trust we bring to the care of Indigenous peoples and our ability to reduce anxiety and fear of the health system that arises, in part, through the legacy of Indian Residential schools, colonialism, and colonial health policy. From a student-centred perspective, we also acknowledge the important shift this proposal brings to the landscape of the diversity of student population in the faculty as a whole, and the promise this shift brings to reducing isolation, anxiety, and denial of our ancestry that is common among small populations of underrepresented students within professional programs such as medicine.

We are encouraged by the hope and possibility this proposal brings to Indigenous health within the faculty, supporting the needs of Indigenous peoples and communities, and to the healthcare system as a whole. Thank you for the opportunity to voice our collective support for this proposal.

Respectfully Signed,

Cole Boettger, Class of 2022

Lauren Cormier (signed digitally)

Loren Cormier, Class of 2020

Nicolas Gibson, Class of 2022

Nicole Labine, Class of 2019

Sean McKenzie, Class of 2021

Amy Norquay, Class of 2019

Gabriel Painchaud, Class of 2022

Nicole Roshko, Class of 2019

Brittany Schroeder, Class of 2022

Andrew Volk, Class of 2022

Jennifer Weekes, Class of 2019

Rebecca Benn, Class of 2022

Pr:

Indigenous Wellness Clinic  
10240 Kingsway Avenue  
Edmonton, AB  
T5H 3V9

November 12, 2018

Faculty of Medicine & Dentistry  
2J2.00 WC Mackenzie Health Sciences Centre  
8440 112 St. NW  
Edmonton, Alberta  
T6G 2R7

Dear General Faculties Council:

As Indigenous physicians from the Indigenous Wellness Program, we are offering our support for **removing the upper limit on Indigenous Admissions to the MD Program**. We hope that you also feel a sense in urgency to make changes that support improving Indigenous Health with the many significant health disparities well documented for our peoples.

Since its induction in 1988, the University of Alberta Indigenous Health Initiatives Program has worked to improve the under-representation of First Nation, Inuit and Métis physicians. The Indigenous Health Initiative Program (IHIP) is a program very familiar to our clinic, with two of our physicians being former graduates. Our University of Alberta IHIP alumni have gone on to serve Indigenous communities across the country and gain credibility nationally for their work with Indigenous peoples.

It is important to recognize the history of the University of Alberta as a leader with the first Indigenous admission policy in the country. Since then, every School of Medicine in the country has adopted a similar program and/or policy, several without an upper limit on Indigenous admissions. We believe that the University of Alberta Faculty of Medicine and Dentistry (FoMD) can build on this legacy as a leader and be a champion in Indigenous initiatives.

The Truth and Reconciliation calls to action state that all levels of government should “*[i]ncrease the number of Aboriginal professionals working in the health-care field.*” (Truth and Reconciliation Commission: Calls to Action, 2015, p.3)

Despite this Call to Action announced in 2015, the University of Alberta FoMD continues to not reach proportional representation of Indigenous students. A recent study on diversity by Dr. Helly Goetz found that only 1.1% of employees at the FoMD identified as Indigenous, with less than 1% at professoriate level. We believe that removing the upper limit on Indigenous admissions would directly increase the number of Indigenous physicians working in Alberta and in partnership with the University of Alberta; strengthening relationships with Indigenous communities and improving health outcomes in a culturally-centered way.

The Indigenous Health Alternate Relationship Plan (ARP) was created in partnership with Alberta Health and Alberta Health Services, funding 19.0 physician FTEs to positively affect the health of Indigenous peoples of Alberta. To date we have still not filled all our FTEs after 5 years of recruiting, leaving many Indigenous communities not served. More than half of Indigenous communities still have no physician services. There is incredible opportunity to grow; with the IHIP's initiatives and recommended admissions policies working ahead of programs such as the Indigenous ARP, together we will meet the needs and surpass them.

In November 1987 after the tragic death of Darcy Tailfeathers, the first student of the IHIP Program, Dr. Anne Marie Hodes wrote a letter to his family. She wrote "I have no doubt that our program will continue despite our great loss. Other Indian students will follow his example and even surpass his expectations."

The University of Alberta will build on the legacy of leadership in addressing past and current injustices to Alberta's Indigenous communities by prioritizing the IHIP admissions recommendations to remove the upper limit on Indigenous admissions.

We appreciate your further consideration and look forward to future collaboration.

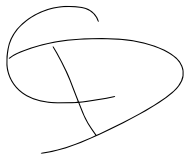
Sincerely,



Dr. Cara Bablitz, Métis Nation of Alberta, UofA Class of 2011



Dr. Jill Galipeau, Métis Nation of Alberta, UofA Class of 2014



Dr. Cassandra Felske-Durksen, Métis Nation of Alberta, UBC Class of 2015

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# Indigenous Admissions to the MD Program

— Presentation to Faculty Council —  
June 26, 2018

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## What is the Indigenous Health Initiatives Program?

- The Indigenous Health Initiatives Program (IHIP) was est. in 1988 with the mandate to help address the under-representation of First Nations, Inuit and Metis people in the medical professions.
  - FoMD was the 1st medical school in Canada to make Indigenous recruitment a priority.
- The IHIP mandate is to support the growth in the number of Indigenous health professionals enter into, and graduate from, any one of the five FoMD programs.
- This mandate is advanced through the special admissions status in the MD, DDS, DHYG, and MLS programs.
- Within the MD program, there is currently 5 “quota” positions held for qualified Indigenous students.
  - This “quota” has remained unchanged since the program was founded over 30 years ago.

## IHIP: Facts and Figures

- The IHIP has supported over 180 Indigenous peoples as they enter into, and graduate from any one of the 5 FoMD Programs.
  - Total Number of Graduates IHI: **109MD / 26DDS / 32DH / 19MLS = 186**
  - Number of Current Students, All Programs, All Years to 06/18: 16MD / 2DDS / 4DH / 3MLS
- Many graduates of the IHIP go on to make significant contributions to Indigenous health organizations, at the local community-level, and within the health system more broadly.
- Indigenous health professionals are a **vital part** of supporting improved health outcomes of all people, but to Indigenous peoples specifically.
  - Indigenous physicians understand lived reality of Indigenous patients; provide culturally-safe care that reduces mistrust, anxiety, and fear that arises from historical mistreatment of Indigenous peoples within the health care system and as a result of Indian Residential schools.

## Understanding the Indigenous Admissions “Quota”

- Quota has been defined as

*“any selection method (for employment, school admission, among others) whereby a certain set of percentage of those selected must be of a given ethnic or racial background and/or of a particular sex.” (Obielumani, 2008)*

- The University of Alberta Faculty of Medicine & Dentistry states the following:

*These positions are to promote applicants who come from and have an understanding of rural, remote, northern, or indigenous communities who may have the goal of returning to practice in these communities.*

## A Question of Fairness - Is a Quota Discriminatory?

- Quotas recognize the need for equity (fairness) - as opposed to equality (the same).
  - Equality assumes “all things being equal”, which fails to understand and be responsive to historical disadvantage of certain groups within society.
- The Canadian Charter of Rights and Freedoms under S. 15 (1) and (2) states:

**15. (1)** *Every individual is equal before and under the law and has the right to the equal protection and equal benefit of the law without discrimination and, in particular, without discrimination based on race, national or ethnic origin, colour, religion, sex, age or mental or physical disability.*

Affirmative action programs

**(2)** *Subsection (1) does not preclude any law, program or activity that has as its object the amelioration of conditions of disadvantaged individuals or groups including those that are disadvantaged because of race, national or ethnic origin, colour, religion, sex, age or mental or physical disability*

## Understanding the history of the IHIP Quota

- When the IHIP quota was first established in 1988, it was a meaningful way to ensure that Indigenous students who desired a place in medical school - had one.
- Between 1934-1974 (or in the years leading up to the IHIP), it is estimated that approximately 750 First Nation and Inuit people had completed post-secondary education.
  - Amounts to 18.75 First Nation and Inuit graduates per year, across all programs in all post-secondary institutions in Canada.
- At the time, the # of spots reserved for Indigenous candidates through the IHIP was responsive to trends in enrolment and completion of Indigenous students at the time.

## A Question of Amelioration of Disadvantage...

- The Gradual Assimilation Act (1857)
  - Sought to assimilate Indian people into Canadian settler society by encouraging enfranchisement.
    - Enfranchisement was a legal and discriminatory process for terminating a person's Indian status and conferring full Canadian citizenship. Enfranchisement was a key feature of the Canadian federal government's assimilation policies regarding Aboriginal peoples.
    - Assumed Indians were willing to surrender their status as Indian people for the privilege of gaining status as a Canadian.
- The Indian Act (1876)
  - Amendment to the Indian Act in 1880: Enfranchisement

## Indians admitted to degrees in Universities etc., may become enfranchised (Indian Act, 1880)

- 99.(1) **Any Indian who may be admitted to the degree of Doctor of Medicine, or to any other degree by any University of Learning,** or who may be admitted in any Province of the Dominion to practise law either as an Advocate or as a Barrister or Counsellor, or Solicitor or Attorney or to be a Notary Public, or who may enter Holy Orders, or who may be licensed by any denomination of Christians as a Minister of the Gospel, may upon petition to the Superintendent-General, **ipso facto become and be enfranchised under the provisions of this Act;** and the Superintendent-General may give him a suitable allotment of land from the lands belonging to the band of which he is a member.



## Legacy of Disadvantage Among Indigenous Peoples

- Despite being the First Peoples of what is now known as Canada and having a Nation-to-Nation relationship with the federal government, Indigenous peoples remain the most disadvantaged group in Canadian society.
- This is self-evident in the social location of Indigenous peoples and is manifested in the high levels of poverty, incarceration, unemployment, child welfare apprehensions, high-school non-completion, and poor health outcomes overall.
- The depth of disadvantage has been chronicled throughout the 20th and 21st centuries and brought forward to the national consciousness by key change agents.

## Understanding the Change Agents

- **The Royal Commission on Aboriginal Peoples (1996)**
  - Indigenous-patient to Indigenous-physician ratio: 1:33,000 compared to 1:515 for all other people.
  - At the present rate of change, it would take 50 years to close the gap (est. in 1996).
  - Called for training of 10,000 Indigenous peoples in the healthcare field by 2006 (or 1000 per year).
    - If distributed across all medical schools (17), this amounts to 59 Indigenous peoples per medical school per year.
    - Over two decades after the RCAP, it is estimated that we are less than halfway to the goal of 10,000.

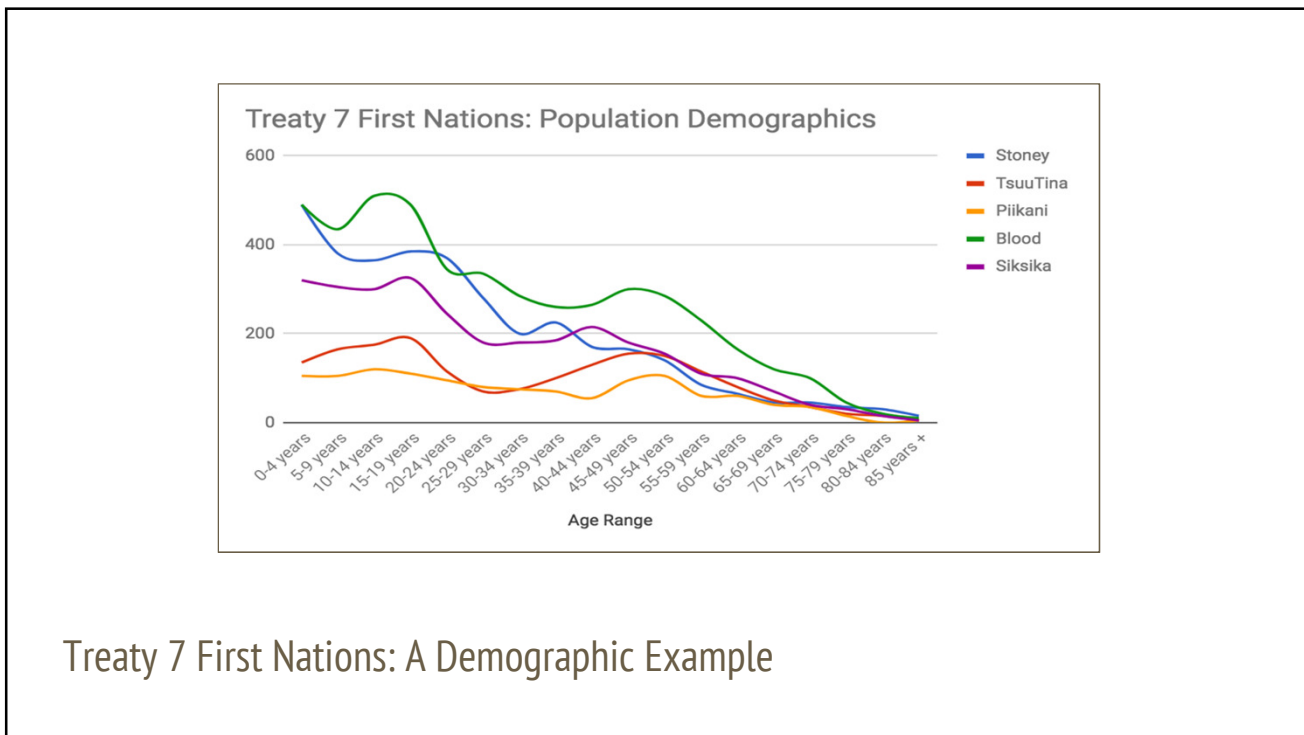
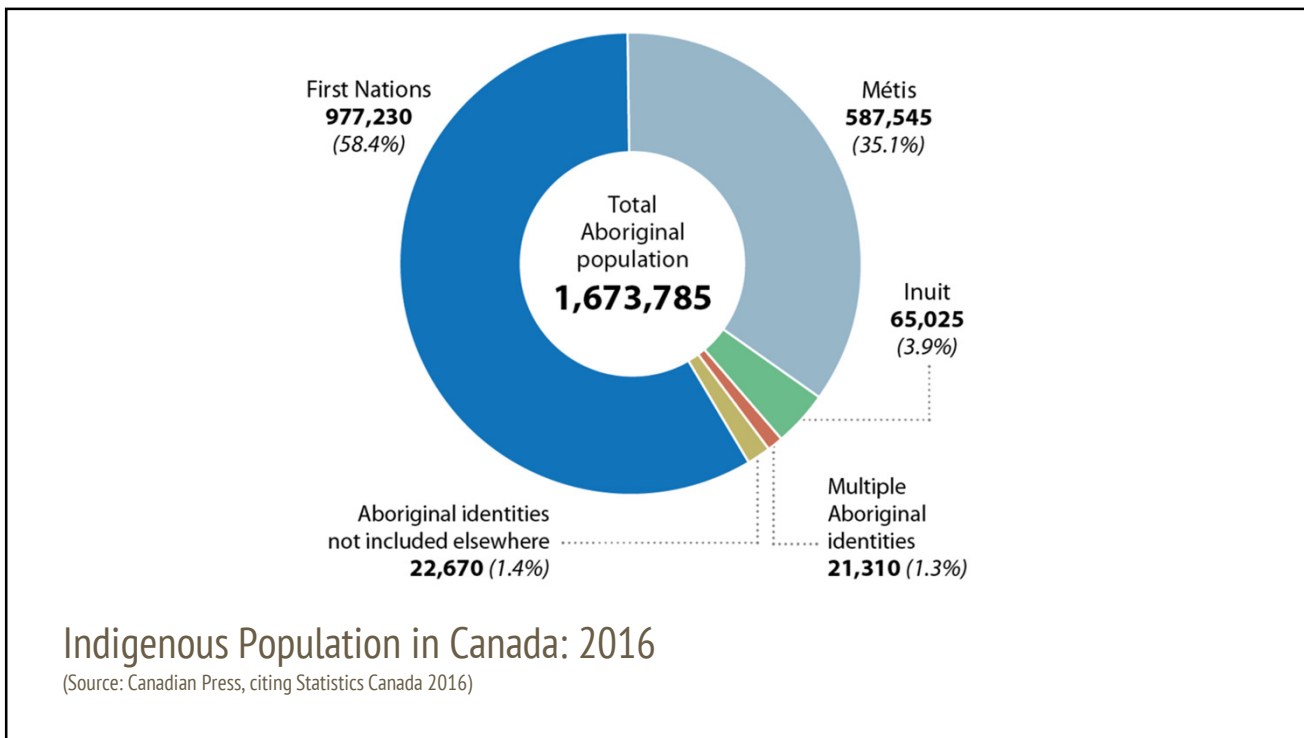
## Understanding the Change Agents

- **The Truth and Reconciliation Commission (2015)**
  - TRC Calls to Action: Calls on all levels of government and those who can affect change to take meaningful action to address the deep and persistent inequities experienced disproportionately by First Nations, Inuit and Metis peoples.
  - Actions taken by those within systems supports redressing the legacy of Indian Residential Schools and advances the process of reconciliation.
    - These are systems-level responses to systemic problems.
  - Call to Action #23 (i):
    - “We call upon all levels of government to: (i) increase the number of Aboriginal professionals working in the healthcare field.”

## Articulating the Change Imperatives

### 1. Population demographic characteristics

- a. Growth rate among Indigenous populations is 4 times that of the non-Indigenous population in Canada.
  - i. In 2015, it was estimated that the total Indigenous population in Canada would reach 1.4 million in 2017. Data released in 2016 suggests that the total Indigenous population is 300,000 more than projected - or 1.7 million.
- b. First Nations people remain the largest group of all Indigenous populations; followed closely by Metis and trailed by the Inuit.
- c. The proportion of Indigenous peoples represents nearly 5 percent of the total population in Canada.
- d. Greatest increases were observed in the **youngest and oldest populations.**



## Articulating the Change Imperatives

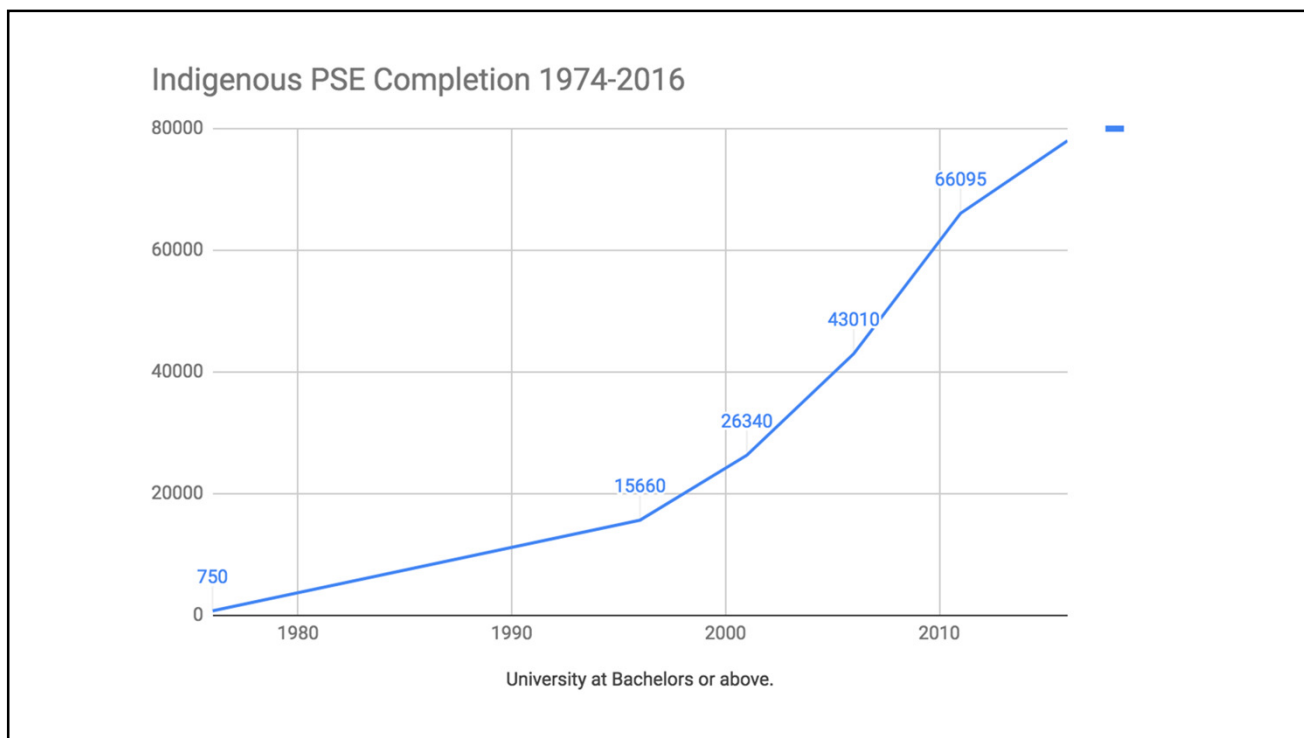
### 2. Health Status of Indigenous Peoples.

- a. Despite advancements in medicine and research, the health status of First Nations, Inuit and Metis people has worsened over time.
- b. The life-expectancy gap between First Nations men and all other men was estimated to be 7 years in 2010. Over time, the gap has more than doubled and is now estimated to be 15 years.
- c. Other conditions and diseases (e.g. TB, cancer, heart disease) have been, and remain, chronic among Indigenous populations in particular
- d. Poor health status of Indigenous peoples arises, in part, through grossly inadequate social policy infrastructure that has led to decades of unmet social determinants of health (housing, education, income, employment etc); the lasting intergenerational effects of Indian Residential Schools; and low engagement by Indigenous peoples with the healthcare system due to poor treatment, racism, and/or neglect (e.g. Brian Sinclair).

## Articulating the Change Imperatives

### 3. Post Secondary Enrolment and Completion

- a. Indigenous peoples have made significant gains in the area of post secondary enrolment and completion.
  - i. Confluence of social and political forces have changed the trajectory of Indigenous PSE enrolment and completion.
    1. Hawthorn Report
    2. White and Red Papers of 1969 and 1973 (ie.Indian Control of Indian Education)
    3. Repatriation of the Constitution in 1982
- b. Data gathered between 1934-1976 estimated the total number of Indian and Inuit graduates from post-secondary institutions to be 750 - or approximately 18 graduates per year (Stonechild, 2004, p. 73) across all schools in Canada.
- c. Recent census data suggests that in 2016, the total number of Indigenous peoples who completed PSE with a bachelor's degree or higher is now 78,020 (Statistics Canada, 2017)



# Where To From Here?

## The Motion to Remove the Quota

*That the quota for Indigenous applicants to the MD Program be removed and offers of admission be made to all Indigenous candidates who meet the eligibility requirements which include calendar academic requirements and who are deemed successful in the Indigenous Admissions selection process AND that the Academic Standings Committee of the University of Alberta be asked to implement this as soon as possible.*

## Why This, Why Now? ... What We Know

- **External forces**
  - Population increase & health status
    - Indigenous population growing 4 x of non-Indigenous population
    - Indigenous peoples are significantly younger than the rest of Canada
      - Their current and future health status remains compromised due to unchanged & poor social policy infrastructure.
    - High likelihood that the health status will remain unchanged, or get worse, over time.
  - Post Secondary Enrolment and Completion
    - Has increased dramatically over time.
    - More and more Indigenous students who may be both interested and eligible for the MD Program.
  - National Change Agents
    - Call on those who can affect change, to do so.

## Why This, Why Now? ... What We Know

- **Internal forces**

- The role of Indigenous physicians
  - Are **vital** to improved health outcomes among Indigenous peoples and are change agents within the healthcare system (and other systems) more broadly.
    - Encourage and foster greater engagement by Indigenous peoples with the healthcare system.
    - Greater engagement leads to meeting the healthcare needs of Indigenous peoples.
      - If the overarching objective is improved health outcomes of Indigenous peoples, Indigenous physicians play a significant part in reaching this objective.
- The historical role of the Faculty of Medicine & Dentistry in ameliorating disadvantage of Indigenous peoples within the program.
- Quotas are one way of increasing the # of Indigenous physicians, but are no longer responsive to external forces.
  - Keeps us out of touch and pursuing numbers as opposed to outcomes - the latter of which is a system-level response that underpins systemic change.

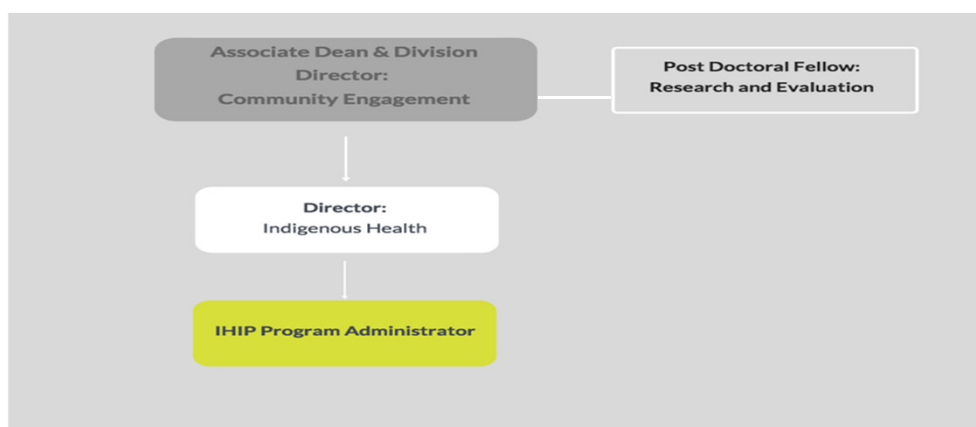
## Impacts & Outcomes of Removing the Quota

- **Immediate:**
  - Volume of # admitted to the program who meet criteria (academic and IHIP) would double, or triple.
  - Faculty of Medicine & Dentistry would be the most responsive program in Canada to the issue of the underrepresentation of Indigenous peoples in health professions.
- **Long Term:**
  - Over time, the volume of applicants may increase five-fold as students more likely to see a place for themselves in our program.
    - Create a “critical mass” of Indigenous physicians who are important and leading edge change agents in Indigenous health specifically, and across the healthcare system (and others).
      - Reduces alienation and isolation of Indigenous peoples within the FoMD
      - Enables the FoMD to be the leader in the field of Indigenous health throughout the country.

## Creating the Conditions for Success

- A change in the # of Indigenous students undoubtedly means changes to the scope and depth of supports required to support Indigenous student success in the program.
  - At present, the IHIP is resourced to support 20 Indigenous students across all 4 years of the MD Program.
    - The IHIP is resourced as follows:
      - One IHIP Administrator;
      - one Post-Doctoral fellow;
      - one Director of Indigenous Health; and
      - one Associate Dean/Division Director.
        - Each have a unique role in supporting and advancing Indigenous health in the FoMD.
  - A plan has been developed to be more responsive to faculty-wide changes to Indigenous admissions.

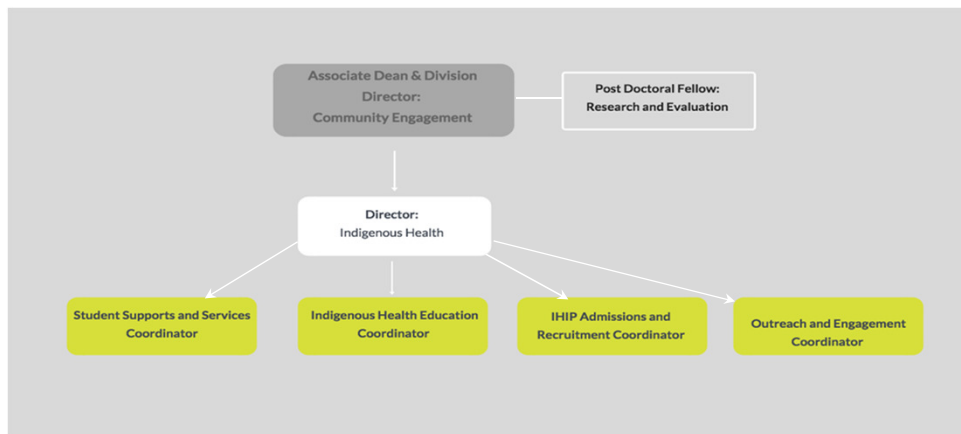
## The Future of the IHIP and Success of Indigenous Students



Current Structure



## The Future of the IHIP and Success of Indigenous Students



### Future Proposed Structure

## Promising Practices: AFMC Survey (2016)

### Indigenous Students in MD Programs

- Indigenous Student Coordinator
- Student Orientation
- Indigenous Student Centre
- Community of support
- Circle of Elders / Knowledge keepers
- Mentorship across the continuum
  - Entry to practice
- Cultural and Identity supports
- Scholarships & Bursaries

### Pre-Entry

- MCAT & MMI Prep
- Health Career Camps
- Mentorship programs with Indigenous medical students
- Outreach - K-PSE

### Medical School Best Practices

- Indigenous health course/curriculum
- Experiential learning/connections to community
- Electives/Community Placements
- Indigenous convocation ceremonies

## Conclusion

- The FoMD is well-positioned to be more responsive to the under-representation of Indigenous peoples within the FoMD.
- The FoMD has the capacity to advance a more meaningful response to the worsening health outcomes among Indigenous peoples and the national change agents and change imperatives - re: TRC and RCAP.
- What we measure is what we value - focus on outcomes, not inputs/outputs.
  - An increase in the number of Indigenous physicians has an important impact on Indigenous health outcomes.
  - Inputs/outputs places the FoMD in the endless cycle of incrementalism - which is understood to be a deadly mediator of inequity.

**Thank you!**

**Questions?**

## Admissions Selection tools

Admissions selection tools	Albertans minimum required	Mean (range)
GPA	3.3	3.8 (3.34-4.0)
MCAT	124	128 (125-131)
CASPER (Computer-Based Assessment for Sampling Personal Characteristics)		
Personal Activities letter		
2 reference letters (Indigenous applicants are encouraged to have a letter of reference from someone who can speak to their connection to community and/or culture)		
Interview MMI  (Indigenous applicants also undergo a Panel Interview and a written essay as part of the Indigenous admissions process)	Varies from year to year	

## Admissions Process

- The admission selection tools are used to rank students and over 500 of the top ranked students are offered an interview.
- Based on the admission selection tools including interview, applicants are again ranked and applicants are offered positions in order of ranking.
- Indigenous applicants are considered in the mainstream process if they do a regular MMI,
- Indigenous applicants are considered in the Indigenous admissions stream if they apply to it and meet criteria

## Admissions Process continued..

- The Indigenous admissions process is one of 2 “quota” entry programs.
- The other is for rural-origin applicants.
- A quota program means a designated number of positions are offered to quota applicants meeting the requirements.
- Indigenous applicants must provide proof of Aboriginal identity in accordance with the Constitution Act, 1982, Part II, Section 35(2)
- The process for Indigenous and mainstream applicants is the same except indigenous applicants wishing to be considered in the Indigenous pool meeting the academic eligibility requirements are all offered interviews.

## Indigenous Interview Panel

- Interviewers in the Indigenous admissions stream include current Indigenous students in the MD Program, Indigenous physicians, Elders, Indigenous community members and some non-Indigenous members of the Faculty of Medicine & Dentistry who display a culturally-safe approach to involvement in the process.

- As part of the Indigenous entry process, applicants undergo a panel interview and submit a written essay which is in addition to the mainstream process (e.g. MMI)
- The IHI subcommittee ranks acceptable applicants and makes recommendations to the admissions committee (top 5, ranked out of total interviewed)
  - This year, the IHIP received 18 applicants.
  - 2 withdrew: Unable to provide proof of identity; 3 were eliminated for not completing CASPER testing; 2 were eliminated for MCAT score in one category being 123, as opposed to 124.
- The IHI subcommittee ranks acceptable applicants and makes recommendations to the admissions committee. The Subcommittee ranked 11 out of 11 eligible candidates.
- The admissions committee decides on making offers up to the quota limit.
- If an applicant turns down an offer, an offer goes to the next ranked applicant.
- If all positions are not filled, the positions are put into the mainstream pool

**Governance Executive Summary  
Action Item**

<b>Agenda Title</b>	<b>Proposed Revisions to Standing Committee Terms of Reference – GFC University Teaching Awards Committee (UTAC)</b>
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**Motion**

THAT General Faculties Council approve the proposed changes to the GFC University Teaching Awards Committee Terms of Reference as recommended by the GFC University Teaching Awards Committee and the GFC Executive Committee as set forth in Attachment 1, to take effect May 1, 2019

**Item**

Action Requested	<input checked="" type="checkbox"/> Approval <input type="checkbox"/> Recommendation
Proposed by	GFC University Teaching Awards Committee
Presenter(s)	Pierre Lemelin, Chair, GFC University Teaching Awards Committee

**Details**

Responsibility	General Faculties Council
The Purpose of the Proposal is <i>(please be specific)</i>	The proposal is before General Faculties Council to approve the revised terms of reference for the GFC University Teaching Awards Committee.
Executive Summary <i>(outline the specific item – and remember your audience)</i>	<p>In April 2017, General Faculties Council endorsed the report of the ad hoc Committee on Academic Governance including Delegated Authority and approved the following principles documents to guide the implementation of the committee’s recommendations, the revisions to standing committees and terms of reference, and to serve as a basis for future efforts to evaluate and improve academic governance at the University of Alberta.</p> <ul style="list-style-type: none"> <li>• <a href="#">Principles for Delegation of Authority</a></li> <li>• <a href="#">Principles of Standing Committee Composition</a></li> <li>• <a href="#">Roles and Responsibilities of Members</a></li> <li>• <a href="#">Meeting Procedural Rules for GFC and its standing committees</a></li> </ul> <p>Specific to UTAC, the report noted that the mandate and delegated authority of UTAC were well defined and recommended no major changes.</p> <p>UTAC reviewed the terms of reference and had extensive discussion about the composition of the committee with respect to its mandate and the GFC Principles of Standing Committee Composition.</p> <p>The draft terms of reference remove committee procedures from the terms of reference to be incorporated into the UTAC adjudication guidelines to be reviewed and endorsed annually by the committee.</p> <p>The draft terms of reference also make some changes to committee composition as follows:</p> <ol style="list-style-type: none"> <li>1. Increasing the Academic Staff representation by one member to 5, with at least 2 members from GFC and no more than one from any Faculty. This will ensure the diversity of disciplines participating with the committee.</li> </ol>

Item No. 7

	<p>2. The committee will elect a Chair and a Vice-Chair, at least one of whom is a member of GFC</p> <p>3. The Academic Teaching Staff criteria be generalized to allow a broader pool of potential committee members from that category</p> <p>4. Increasing the elected undergraduate student representation from 2 to 3 (no change was proposed to the number of graduate students), with at least one of the undergraduate students or the elected graduate student being a member of GFC.</p> <p>5. Changing the Alumni representation from “nominated by” to “appointed by” the Alumni Association to align with current practice.</p> <p>The committee members suggest that the work of this committee benefits more by maintaining broad representation from faculty, student and the community (Alumni) than the potential membership limiting factor of requiring the majority be GFC members. Members point to #6 In the Principles for General Faculties Council Standing Committee Composition. “Standing Committees should be populated with a commitment to diversity and broad representation from across the university.” The committee’s mandate, oriented to awards, is different than the majority of GFC standing committees, which are more policy oriented.</p> <p>The draft Terms of Reference were before GFC Executive Committee on October 15, 2018 and GFC on October 22, 2018 for early consultation. Comments were received at GFC about student and Indigenous representation on the committee. UTAC discussed this feedback at the November 1 meeting.</p>
Supplementary Notes and context	

**Engagement and Routing** (Include meeting dates)

<p>Consultation and Stakeholder Participation (parties who have seen the proposal and in what capacity)</p> <p>&lt;For information on the protocol see the <a href="#">Governance Resources section Student Participation Protocol</a>&gt;</p>	<p><b><u>Those who are actively participating:</u></b></p> <ul style="list-style-type: none"> <li>• <i>ad hoc</i> Committee on Academic Governance Including Delegated Authority</li> <li>• University Teaching Awards Committee</li> </ul>
	<p><b><u>Those who have been consulted:</u></b></p> <ul style="list-style-type: none"> <li>• Report of the <i>ad hoc</i> Committee on Academic Governance Including Delegated Authority (endorsed by GFC April 21, 2017) Appendix 6: List of Consultations</li> <li>• University Teaching Awards Committee</li> <li>• General Faculties Council</li> <li>• GFC Executive Committee</li> <li>• GFC Executive Committee Transition Committee – September 2018</li> </ul>
	<p><b><u>Those who have been informed:</u></b></p> <ul style="list-style-type: none"> <li>• University Teaching Awards Committee</li> <li>• General Faculties Council</li> <li>• Board of Governors has been provided with brief highlights of the work of the <i>ad hoc</i> Committee on Academic Governance</li> </ul>

Item No. 7

	Including Delegated Authority
Approval Route (Governance) (including meeting dates)	GFC University Teaching Awards Committee – November 1, 2018 GFC Executive Committee – November 19, 2018 General Faculties Council – November 26, 2018

**Strategic Alignment**

Alignment with <i>For the Public Good</i>	<b><i>For the Public Good</i></b> 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.	
Alignment with Institutional Risk Indicator	Please note below the specific institutional risk(s) this proposal is addressing.	
	<input type="checkbox"/> Enrolment Management <input type="checkbox"/> Faculty and Staff <input type="checkbox"/> Funding and Resource Management <input type="checkbox"/> IT Services, Software and Hardware <input checked="" type="checkbox"/> Leadership and Change <input type="checkbox"/> Physical Infrastructure	<input checked="" type="checkbox"/> Relationship with Stakeholders <input checked="" type="checkbox"/> Reputation <input type="checkbox"/> Research Enterprise <input type="checkbox"/> Safety <input type="checkbox"/> Student Success
Legislative Compliance and jurisdiction	<i>Post-Secondary Learning Act (PSLA)</i> GFC Executive Committee Terms of Reference GFC University Teaching Awards Terms of Reference	

Attachments (each to be numbered 1 - <>)

1. Attachment 1: Proposed UTAC Terms of Reference
2. Attachment 2: UTAC approved Adjudication Guidelines
2. Attachment 3: Current UTAC Terms of Reference

*Prepared by:* University Governance





## **1. Mandate and Role of the Committee**

The University Teaching Awards Committee (UTAC) is a standing committee of General Faculties Council (GFC) charged with adjudicating:

- the William Hardy Alexander Award for Excellence in Undergraduate Teaching
- the Rutherford Award for Excellence in Undergraduate Teaching
- the Provost's Award for Early Achievement of Excellence in Undergraduate Teaching
- the Teaching Unit Award
- the Award for Excellence in Graduate Teaching

## **2. Areas of Responsibility**

- a. Adjudicate GFC's annual teaching awards
- b. Review and recommend changes to the UAPPOL Awards for Teaching Excellence Policy and its procedures for these awards

## **3. Composition**

### **Voting Members (12)**

#### **Elected by GFC (10)**

- 5 Academic Staff (A1.1, A1.5, A1.6, A1.7), with no more than one from any Faculty. At least two of the academic staff members should be members of GFC. The committee will elect a Chair and a Vice-Chair, at least one of whom is a member of GFC.
- 1 Academic Teaching Staff (ATS)
- 3 undergraduate students and 1 graduate student, at least one of whom is a member of GFC

#### **Appointed (2)**

- 2 alumni, appointed by the Alumni Association

### **Non-Voting Members**

- University Secretary
- GFC Secretary

## **4. Delegated Authority from General Faculties Council**

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

4.1 Determine winners of these awards according to approved UAPPOL policies and procedures.

## **5. Responsibilities Additional to Delegated Authority**

5.1 Review and approve, on an annual basis, the GFC UTAC Adjudication Guidelines that speak to conflicts of interest and adjudication procedures.

5.2 Review UAPPOL Awards for Teaching Excellence Policy and its procedures and recommend changes to GFC or the Provost and Vice-President (Academic) for approval as appropriate.

## **6. Sub-delegations from University Teaching Awards Committee**

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

None.

**7. Limitations to Authority**

7.1 The committee will use criteria outlined in UAPPOL policies and procedures and conduct activities in accordance with UTAC adjudication guidelines.

**8. Reporting to GFC**

The Committee should regularly 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

Academic Teaching Staff - as defined by the [Recruitment Policy \(Appendix A\) Definition and Categories of Academic Staff, Administrators and Colleagues](#) in UAPPOL

**10. Links**

UAPPOL

[Awards for Teaching Excellence Policy](#)

[Award for Excellence in Graduate Teaching Procedure](#)

[Provost's Award for Early Achievement of Excellence in Undergraduate Teaching Procedure](#)

[Rutherford Award for Excellence in Undergraduate Teaching Procedure](#)

[Teaching Unit Award Procedure](#)

[William Hardy Alexander Award for Excellence in Undergraduate Teaching Procedure](#)

GFC UTAC Adjudication Guidelines

Approved by General Faculties Council: [date]

## GFC UTAC Adjudication Guidelines

The GFC University Teaching Awards Committee (UTAC) considers nomination packages of exceptional quality. Members share responsibility through collective decision-making and trusting in the value of their common knowledge and wisdom. UTAC's strength resides in the diversity and commitment of its members.

This document, reviewed and approved annually by the committee, ensures that the processes used by the committee in its adjudication work are clearly defined and able to stand up to close scrutiny.

### Conflicts of interest

- a. All UTAC members are expected to divest themselves of their particular concerns and act in the best interests of the University of Alberta in selecting award recipients.
- b. UTAC members must declare any conflicts of interest, real or perceived. If a member feels that they are unable to participate ethically in the adjudication process, the member may withdraw from the discussion of a particular nominee.
- c. UTAC members should not participate in the nomination process within their Faculties. Such participation includes, but is not limited to, assistance in preparation of nomination packages, including preparation of letters of support.

### Information provided on nominees

- a. Considering that nominations received by UTAC are excellent, most, if not all nominees will meet each criterion for the award to which they have been nominated. Thus, the point is not to consider whether a nominee deserves a specific teaching award *in abstracto*, but to decide whether a nominee is better than the others in the same pool of nominees.
- b. Decisions will be based on the contents of the nomination packages, but may also involve consideration of additional information, provided this information is publicly available and can be shared amongst all UTAC members. Offering anecdotal information (e.g., a testimonial) regarding individual nominees could unfairly influence the outcome of deliberations and is not permitted.

### Ranking before the adjudication meeting

In order to allow the committee adequate time to discuss nominations, the following process has been established:

- a. After reviewing the nomination packages, UTAC members fill out a table categorizing each nominee as either in the top, in the middle, or at the bottom of their ranking for each award.

The three categories can be interpreted as follows:

- Top: nominees you *very strongly* believe should get the award
- Bottom: nominees you *would not mind* if they did not get the award
- Middle: all other nominees

Putting a nominee in the bottom category does not lessen the appreciation of their teaching. Clearly, categorizing nominees either in the top or bottom category, inasmuch as it is possible, is *most useful* when we consider all UTAC members' rankings together.

- b. Members provide the committee coordinator with their ranking table at least five (5) working days before the adjudication. An informal tally will be prepared by the committee coordinator, and shared with the committee.
- c. Collating member rankings will show whether a nominee is obviously at the top or at the bottom when considering all nominations. The tally also provides a ranking of all nominees prior to the adjudication meeting, which helps to focus the committee's discussions.

#### At the adjudication meeting

UTAC decides by consensus how to proceed with the nominations. The tally of rankings is used as a guide to streamline discussion. A member may, at any time, ask to discuss any nominee regardless of position in the tally.

- Nominees at the bottom of collated rankings:

Taking as a starting point the tally made of all rankings, members agree on which nominees not to discuss. A member may, however, request a nominee be discussed, even if at the bottom of the collated rankings. It is important to keep this in mind as previous experience has shown that the discussion can result in reconsideration.

- Nominees at the top of collated rankings:

Based on the ranking tally, members agree on which nominees should be granted the awards. Usually, such nominations are not discussed at length, however, any UTAC member may request a full discussion of any of the nominees.

- Other nominees/awards:

Depending on the number of remaining nominees and awards, the committee may choose to discuss all remaining nominees or only those near the top of the collated rankings.

- Annual additional award

The committee may, as provided for and outlined in published procedures of the Awards for Teaching Excellence Policy for certain awards, choose to either award or carry forward the additional award for one year.

*Approved by GFC University Teaching Awards Committee  
November 1, 2018*

## **GFC University Teaching Awards Committee Terms of Reference**

### **1. Authority**

The *Post-Secondary Learning Act* gives General Faculties Council (GFC) responsibility, subject to the authority of the Board of Governors, over "academic affairs" (section 26(1)) and over "academic awards" (section 26(1)(m)). GFC delegates certain of these powers to its University Teaching Awards Committee. GFC has thus established a University Teaching Awards Committee (GFC UTAC), as set out below.

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

### **2. Composition of the Committee**

#### **Elected by GFC:**

- Four members from Categories A1.1 and A1.6 and their counterparts in A1.5 and A1.7 (no more than one from any Faculty)
- One member from Category A2.3
- Two undergraduate students
- One graduate student

#### **Nominated by the Alumni Association:**

- Two Alumni

(GFC 29 JUN 1981) (GFC 28 NOV 1988)(EXEC 14 NOV 1994) (EXEC 01 MAY 2000) (EXEC 06 MAY 2002)

### **3. Mandate of the Committee**

The University Teaching Awards Committee (UTAC) adjudicates the William Hardy Alexander Award for Excellence in Undergraduate Teaching, the Rutherford Awards for Excellence in Undergraduate Teaching, the Provost's Award for Early Achievement of Excellence in Undergraduate Teaching and the Teaching Unit Award (see the *Awards for Teaching Excellence Policy* and procedures as posted in UAPPOL). (EXEC 03 MAY 2004)

UTAC has responsibility for reviewing the awards policies and criteria for the Rutherford, William Hardy Alexander, Early Achievement, and Teaching Unit Awards, and for alerting the GFC Executive Committee of any problems with the policies governing these awards.

### **4. Committee Procedures**

Information management of UTAC's proceedings must be clearly defined and able to stand up to close scrutiny. All information that forms the basis of a decision must be clearly understood and documented, along with the source of such information.

All UTAC members are expected to divest themselves of their particular concerns and act in the best interests of the University of Alberta in choosing award winners. Decisions are to be based on the

contents of the nomination files but may involve a consideration of additional information (see below), provided this is publicly available and shared with all members of UTAC. Offering anecdotal information (eg a testimonial) regarding individual candidates could unfairly influence the outcome of deliberations and is not permitted.

### **I Additional Information about Nominees**

Members may bring forward to the meeting ONLY publicly available additional information provided that this information is shared with all other committee members.

Members may NOT bring forward additional anecdotal information.

In all cases, the Secretary to the Committee will note the full content and the source of the information for the record.

### **II Conflict of Interest**

UTAC members should not participate in the nomination process within their Faculties. Such participation includes but is not limited to assistance in preparation of nomination packages, including and especially the preparation of letters of support.

Members should disclose to other members all perceived conflicts of interest. If a member feels he or she is unable to participate ethically in the adjudication process, the member should withdraw from the discussion. The Secretary will note for the record statements of conflicts of interest.

## **5. Additional Reporting Requirements**

None.

R:\GO04 General Faculties Council - General\PRO\TER\UTC\Undergraduate-Teaching-Awards-Committee-Amended.doc

Approved November 26, 2007 (GFC)

**Governance Executive Summary**  
**Advice, Discussion, Information Item**

<b>Agenda Title</b>	<b>Digital Scholarship Centre (DSC)</b>
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**Item**

Proposed by	Dale Askey, Vice-Provost (Learning Services) and Chief Librarian
Presenter	Dale Askey, Vice-Provost (Learning Services) and Chief Librarian

**Details**

Responsibility	Provost and Vice-President (Academic)
The Purpose of the Proposal is (please be specific)	The proposal is before GFC for information and discussion.
Executive Summary ( <i>outline the specific item – and remember your audience</i> )	<p>The DSC will conduct, advance, and support research relating to and about digital scholarship. Appropriate resources and budget have been identified and established within the Libraries existing operational structure in order to ensure principles of sustainability and excellence in mission are achieved. Substantial consultations and due diligence in conforming to the Centres and Institutes policy have been followed in order to plan for and create an important and viable campus resource, one which will help support and encourage digitally-based research and collaboration.</p> <p>Designation of the DSC as an academic centre is important for many reasons, including the potential for it to become a centre of excellence nationally and internationally in conducting research and support for digital scholarship. Centre status will also help ensure that those researchers and teams affiliated with the Centre are well positioned to attract and receive grant funding. Due to the centre's interdisciplinary nature and its physical location being in central interdisciplinary space, the DSC has the potential to be a tremendous incubator and connector for research partnerships.</p>
Supplementary Notes and context	The Digital Scholarship Centre was approved by GFC Academic Planning Committee, with delegated authority from General Faculties Council, on <a href="#">October 24, 2018</a> .

**Engagement and Routing** (Include proposed plan)

Consultation and Stakeholder Participation	<ul style="list-style-type: none"> <li>• Centres and Institutes Committee (CIC)</li> <li>• Randy Goebel, Associate Vice-President Research/Academic and Chair, Centres and Institutes Committee (CIC)</li> <li>• Tammy Hopper, Vice-Provost (Programs)</li> <li>• Sarah Forgie, Vice-Provost (Learning Initiatives)</li> <li>• Wendy Rodgers, Deputy Provost</li> <li>• Andrea Patrick, Portfolio Initiatives Manager, Office of the Provost and Vice-President (Academic)</li> <li>• GFC Committee on the Learning Environment (CLE)</li> <li>• Brian Stewart, Deputy CIO, Information Services &amp; Technology</li> <li>• Edith Finczak, Director, Academic Budget &amp; Planning</li> </ul>
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**Strategic Alignment**

Alignment with <i>For the Public</i>	OBJECTIVE 11:
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Item No. 8

<p><i>Good</i></p>	<p>Advance the University of Alberta's reputation for research excellence by pursuing fundamental and original questions and ideas, pushing the frontiers of knowledge, inspiring creative experimentation, driving innovation, and advancing society.</p> <p>OBJECTIVE 13: Enable University of Alberta researchers to succeed and excel.</p> <p>OBJECTIVE 16: Enhance, increase, and sustain reciprocal, mutually beneficial community relations, community engagement, and community-engaged research and scholarship that will extend the reach, effectiveness, benefit, and value of our university-community connections.</p> <p>OBJECTIVE 17: Facilitate, build, and support interdisciplinary, cross-faculty, and cross-unit engagement and collaboration.</p>			
<p>Alignment with Institutional Risk Indicator</p>	<p>Please note below the specific institutional risk(s) this proposal is addressing.</p> <table border="1" data-bbox="553 863 1531 1073"> <tr> <td data-bbox="553 863 1071 1073"> <input type="checkbox"/> Enrolment Management  <input type="checkbox"/> Faculty and Staff  <input type="checkbox"/> Funding and Resource Management  <input type="checkbox"/> IT Services, Software and Hardware  <input type="checkbox"/> Leadership and Change  <input type="checkbox"/> Physical Infrastructure                 </td> <td data-bbox="1071 863 1531 1073"> <input checked="" type="checkbox"/> Relationship with Stakeholders  <input checked="" type="checkbox"/> Reputation  <input checked="" type="checkbox"/> Research Enterprise  <input type="checkbox"/> Safety  <input type="checkbox"/> Student Success                 </td> </tr> </table>		<input type="checkbox"/> Enrolment Management <input type="checkbox"/> Faculty and Staff <input type="checkbox"/> Funding and Resource Management <input type="checkbox"/> IT Services, Software and Hardware <input type="checkbox"/> Leadership and Change <input type="checkbox"/> Physical Infrastructure	<input checked="" type="checkbox"/> Relationship with Stakeholders <input checked="" type="checkbox"/> Reputation <input checked="" type="checkbox"/> Research Enterprise <input type="checkbox"/> Safety <input type="checkbox"/> Student Success
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<p>Legislative Compliance and jurisdiction</p>	<p>Post-Secondary Learning Act Centres and Institutes Policy (UAPPOL) GFC Academic Planning Committee</p>			

Prepared by: Andrea Patrick, Portfolio Initiatives Manager, Office of the Provost and Vice-President (Academic), [apatrick@ualberta.ca](mailto:apatrick@ualberta.ca); Geoff Harder, Associate University Librarian, Libraries, [gharder@ualberta.ca](mailto:gharder@ualberta.ca).



**Governance Executive Summary**  
**Advice, Discussion, Information Item**

Agenda Title: **Draft Tri-Agency Research Data Management Policy**

Proposed by	Steven Dew, Provost and Vice-President (Academic) Matthias Ruth, Vice-President (Research)
Presenter	Steven Dew, Provost and Vice-President (Academic) Matthias Ruth, Vice-President (Research)

**Details**

Responsibility	Libraries, Vice-President Research
The Purpose of the Proposal is (please be specific)	<b>Information/Discussion.</b> The university has provided feedback to the Tri-agencies with regards to their draft Tri-Agency research Data Management Policy posted here: <a href="http://www.science.gc.ca/eic/site/063.nsf/eng/h_97610.html">http://www.science.gc.ca/eic/site/063.nsf/eng/h_97610.html</a>
Executive Summary	<p>On behalf of the University of Alberta, the Provost and Vice-President Research have submitted institutional feedback to the Tri-Agencies in response to their call for consultation on the <a href="#">Draft Tri-Agency Research Data Management Policy</a> and <a href="#">FAQs</a> (see letter as attached). The feedback from the University of Alberta was generated from:</p> <ol style="list-style-type: none"> <li>1. An electronic survey of Faculty, students and staff across the University of Alberta.</li> <li>2. A working group involving cross-campus representation from administration, research ethics, research grants, libraries, graduate students, and postdoctoral fellows.</li> </ol> <p>The feedback letter is attached to this summary.</p> <p>This Tri-Council RDM policy is important because it has implications for individual and institutional responsibilities and requirements around managing research data associated with Tri-Council research awards. The policy extends to all types of quantitative and qualitative data—as well as non-electronic data. The policy may also have implications for the inclusion of data management plans in funding applications, institutional resources, and technical and cultural changes in data handling practices.</p> <p>It is expected that the university will engage in further consultation and planning exercises to develop an institutional strategy for research data management support, including necessary services, training, and infrastructure.</p> <p>Next steps: The working group will meet again to discuss options for how to proceed with the development of a draft institutional strategy for research data management and stewardship. Timelines will be impacted by the pace for which the Tri-Agencies adopt new policies. However, global trends appear to indicate a reasonably high likelihood that a version of this policy, however modified, is likely to move ahead. Therefore, it would be prudent for the university to engage in planning in anticipation of new and evolving expectations in the area of RDM support.</p>

Item No. 9

	Worth noting, Canadian Association of Research Libraries (CARL) Portage initiative is developing a <a href="#">strategy template</a> and <a href="#">guidance</a> , which may prove helpful to UAlberta's local efforts.
Supplementary Notes and context	

**Engagement and Routing** (Include proposed plan)

Consultation and Stakeholder Participation	<p>The feedback from the University of Alberta was generated from:</p> <ol style="list-style-type: none"> <li>1. An electronic survey of Faculty, students and staff across the University of Alberta.</li> <li>2. A working group involving cross-campus representation from administration, research ethics, research grants, libraries, graduate students, and postdoctoral fellows.</li> </ol> <p>GFC Committee on the Learning Environment – October 3, 2018 GFC Academic Planning Committee –October 24, 2018</p>
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**Strategic Alignment**

Alignment with <i>For the Public Good</i>	Objective 11 (research excellence), Objective 12 (signature research and teaching areas), Objective 13 (enable researchers to succeed and excel), Objective 17 (interdisciplinary and cross-unit collaboration), Objective 18 (strengthen and sustain partnerships)
Alignment with Institutional Risk Indicator	Research Enterprise IT Services, Software & Hardware Relationships with Stakeholders
Legislative Compliance and jurisdiction	<ul style="list-style-type: none"> <li>• <a href="#">Research Records Stewardship Guidance Procedure</a> (UAPPOL)</li> <li>• <a href="#">Research Records Stewardship Guidance Procedure Appendix A: Research Records Management and Preservation Guidelines</a> (UAPPOL)</li> <li>• <a href="#">Research Data Management</a> (U of A Libraries)</li> <li>• TCPS 2 – <a href="#">Chapter 5 Privacy and Confidentiality</a> (contains provisions regarding the safeguarding of information)</li> </ul>

Attachments (each to be numbered 1 - <>)

1. Background information/relevant reference documents
  - a. Letter - Re: Tri-Agency Research Data Management Draft Policy

Prepared by: Geoff Harder, Associate University Librarian, [geoffrey.harder@ualberta.ca](mailto:geoffrey.harder@ualberta.ca)

September 6, 2018

**Re: Tri-Agency Research Data Management Draft Policy Review**

We are grateful to the Tri-Agencies for the opportunity to provide feedback on the “*Tri-Agency Research Data Management Draft Policy*.” This policy will mark a key milestone in recognizing the importance of public investment in Tri-Agency funded research and will have far-reaching implications for institutional data management strategies and policies, researcher data management plans and data deposit.

The feedback from the University of Alberta was generated from:

1. An electronic survey of faculty, students, and staff across the University
2. A working group involving cross-campus representation from administration, research ethics, research grants, libraries, graduate students, and postdoctoral fellows

**Feedback to Tri-Agencies**

**1) Clarify the Scope of the Policy**

How the policy would be applied across the many streams of Tri-Agency funding is unclear. The explicit scope of the policy should be stated. For example, whether the policy will apply to: Tri-Agency scholarships, fellowships, or chairs?

The policy makes no reference to open data. This is a concern given increasing demands for open data during research dissemination. Open data should be overtly addressed in and by the policy.

Many concerns raised in our consultation could be resolved via recourse to different applicable policies, notably the “*Principles of Digital Data Management*” referred to briefly in the draft policy. As such, either the policy should make clear that its interpretation and application should be done using other Tri Agency policies (and specify which policies), or, a longer and more detailed self-contained policy be developed to provide sufficient clarity and cohesion. For example, by comparison: the *Tri Council Policy Statement 2: Ethical Conduct for Research Involving Humans* (2014) is 220 pages long.

**2) Increase Clarity of Key Principles and Definitions**

There was widespread concern that the draft policy was vague in relation to a number of key aspects of Research and Data Management (RDM), including: The principles underlying the policy, including the policies recommendations. These principles should be stated, explained and justified adequately:

- Concerning the scope of the term “data”, more clarity is needed about whether and how this term encompasses data analyses, outputs and associated documentation/metadata
- Whether and how recommendations are to be extended logistically to very large data sets, relationships to external repositories and data mining
- The definition and characteristics of a ‘recognized data repository’ are important but are undefined

Based on the concern that the policy could not be implemented effectively if read in isolation, it was recommended that the policy contain a more exhaustive context addressing its scope, including both support/affirmation for best practices in different disciplines (eg, physics and qualitative research), and potential exceptions around or resulting from intellectual property, human participant data, commercially-sensitive research, as outlined in the *Tri-Agency Statement of Principles of Digital Data Management*.

### **3) Increase Detail About Internal Roles and Responsibilities**

The policy, as presented, provided insufficient clarity around key aspects of data stewardship and management, notably:

- Institutional versus individual responsibilities for RDM activities, including elaboration of the scope of institutional responsibilities and appropriate approaches to compliance and monitoring
- Recommended windows and timelines for data-handling, particularly around data access and release
- How requests for exceptions around data-sharing should be made and evaluated
- The definition and characteristics of a ‘recognized repository service’
- How data management and archiving for Tri-Agency projects would be funded on an ongoing basis

Additional clarity on these points would strengthen the policy.

While the policy encourages institutions to develop “their own data management policies and standards”, we suggest that institutions be *strongly encouraged* to harness *existing* recommended policies and standards that meet best practices, such as the Portage DMP Assistant. This will promote higher continuity, efficiency and quality.

It should be made clearer that Data Management Plans include *both* storage of data during active phases of research and roles/responsibilities. The latter are integral but are often neglected aspects of data management.

While we recognize that the Tri-Agencies likely prefer to delegate detailed implementation of the policy to individual institutions, there was a perception that the policy contained a combination of comparably vague high-level aspirations for RDM in Canada with very specific recommendations - for example, concerning Data Management Plans. To allow institutions the flexibility to devise specific

implementation strategies and approaches in light of the higher order priorities and responsibilities articulated in the policy, we recommend that the policy recommendations are less prescriptive.

#### **4) Address Resource Implications**

Implementation of the policy was seen to have major and diverse resource implications potentially for individual researchers, units, and the institutions that oversee research administration but was vague on how any new requirements would be funded or supported. Concerns were most widely expressed in relation to:

- The time and resource costs of meeting the policy at the individual and institutional levels, notably human resource needs (versus initial capital technology needs) necessary for long term data management
- The time and resource costs of monitoring and ensuring compliance with the policy at the individual and institutional level
- The distinctive and disproportionately high needs and related responsibilities that data sets in some disciplines (eg, astronomy/physics) would exert and whether and how these could be met by general policy. For example, additional code necessary to create, modify, analyze or visualize primary data.
- Sustainability of funding to ensure data are shared for a sufficient length of time
- The adequacy of institutional resources to support the distinctive infrastructure needs of different types of research, particularly given the restrictions institutions face in applying operational funds to costs associated with sponsored research

#### **5) Recognize Implementation in Working Cultures**

The policy should more adequately reflect both the cultural as well as the technical challenges of implementation, and contain more specific and resource recommendations in relation to:

- Raising awareness and understanding of the importance of adequate RDM in institutions, for example through training and education
- Promoting individual and institutional accountability
- Protecting, training and supporting of trainees (including but not restricted to: undergraduate and graduate students, postdoctoral fellows and medical residents, technicians and other research staff) and faculty members around RDM practices and requirements; and ensuring that accountabilities and responsibilities for RDM tasks are vested in the appropriate parties

The intended implementation timeline is not adequately specified, resulting in a lack of clarity for institutions concerning short-term requirements and implementation priorities. If possible, expected timelines for compliance should be stated.

## 6) Promote External Congruence

The policy appeared to view institutions as isolated entities and did not adequately consider the connections between the proposed policy and external environments. The policy should consider and address more overtly:

- The potential for conflicting RDM requirements in data sets shared by international groups of researchers which are governed under different policies. Specifically, consideration should be made for data sharing and deposit in other jurisdictions, including specifying the nature and extent of the responsibilities of Canadian researchers and their institutions in relation to international collaborations.
- The congruence between RDM requirements and infrastructure of different Canadian universities for data sets shared in Canada, including consideration for clarifying individual and institutional accountabilities under the policy for research which is conducted across multiple institutions

In summary, this draft policy and the related consultations highlight the importance of shared responsibilities of researchers, institutions, and their research partners, participants and communities related to data ownership, control, access and preservation over the data life cycle. We look to the Tri-Agencies to lead and support these important discussions.

Thank you again for the opportunity to provide feedback on this draft policy.



Steven Dew, PhD  
Provost and Vice-President (Academic)

SD/MR/km



Matthias Ruth, PhD  
Vice-President (Research)

**Governance Executive Summary**  
**Advice, Discussion, Information Item**

<b>Agenda Title</b>	<b>New Budget Model</b>
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**Item**

Proposed by	Gitta Kulczycki, Vice-President (Finance and Administration) Steven Dew, Provost and Vice-President (Academic)
Presenter	Gitta Kulczycki, Vice-President (Finance and Administration) Steven Dew, Provost and Vice-President (Academic)

**Details**

Responsibility	Vice-President (Finance and Administration) Provost and Vice-President (Academic)
The Purpose of the Proposal is (please be specific)	To provide the Committee with an overview of the New Budget Model as proposed.
Executive Summary ( <i>outline the specific item – and remember your audience</i> )	<p>Historically, the University of Alberta has employed an incremental budget model. In incremental budgeting, budgets from the previous year are used as a starting point and the current year budget is adjusted up or down relative to this starting point according to the change in available resources. There are several weaknesses with this type of model though.</p> <p>Under the sponsorship of the Provost and Vice-President (Finance and Administration), a Budget Model Working Group (BMWG) was created to develop a new budget model.</p> <p>The budget model outlines the mechanisms and processes for the assignment of revenues and responsibility for costs across the University's faculties and administrative units. It is activity-based, meaning that faculty revenues depend on teaching and research activities, the University's two core mandates, rather than on the historical allocation of resources.</p>
Supplementary Notes and context	

**Engagement and Routing** (Include proposed plan)

Consultation and Stakeholder Participation	Senior Administrators' Retreat (August 28 and 29, 21018) Chair's Council (September 18, 2018) Ongoing Consultation
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**Strategic Alignment**

Alignment with <i>For the Public Good</i>	Objective 22: Secure and steward financial resources to sustain, enhance, promote, and facilitate the university's core mission and strategic goals.		
Alignment with Institutional Risk Indicator	<p>Please note below the specific institutional risk(s) this proposal is addressing.</p> <table border="0"> <tr> <td> <input type="checkbox"/> Enrolment Management  <input type="checkbox"/> Faculty and Staff  <input checked="" type="checkbox"/> Funding and Resource Management  <input type="checkbox"/> IT Services, Software and Hardware  <input type="checkbox"/> Leadership and Change  <input type="checkbox"/> Physical Infrastructure         </td> <td> <input type="checkbox"/> Relationship with Stakeholders  <input type="checkbox"/> Reputation  <input type="checkbox"/> Research Enterprise  <input type="checkbox"/> Safety  <input type="checkbox"/> Student Success         </td> </tr> </table>	<input type="checkbox"/> Enrolment Management <input type="checkbox"/> Faculty and Staff <input checked="" type="checkbox"/> Funding and Resource Management <input type="checkbox"/> IT Services, Software and Hardware <input type="checkbox"/> Leadership and Change <input type="checkbox"/> Physical Infrastructure	<input type="checkbox"/> Relationship with Stakeholders <input type="checkbox"/> Reputation <input type="checkbox"/> Research Enterprise <input type="checkbox"/> Safety <input type="checkbox"/> Student Success
<input type="checkbox"/> Enrolment Management <input type="checkbox"/> Faculty and Staff <input checked="" type="checkbox"/> Funding and Resource Management <input type="checkbox"/> IT Services, Software and Hardware <input type="checkbox"/> Leadership and Change <input type="checkbox"/> Physical Infrastructure	<input type="checkbox"/> Relationship with Stakeholders <input type="checkbox"/> Reputation <input type="checkbox"/> Research Enterprise <input type="checkbox"/> Safety <input type="checkbox"/> Student Success		

Item No. 10

Legislative Compliance and jurisdiction	Academic Planning Committee Terms of Reference
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Attachments

1. Summary of Budget Model APC Nov 7 (pages 1 - 9)

*Prepared by:* Giovana Bianchi, Senior Administrative Officer, Office of the VP Finance and Administration



## Introduction

Historically, the University of Alberta has employed an incremental budget model. In incremental budgeting, budgets from the previous year are used as a starting point and the current year budget is adjusted up or down relative to this starting point according to the change in available resources. There are several weaknesses with this type of model.

First, as budgets are based on history and habit, rather than current academic activities and priorities, resources do not necessarily flow to areas in which current activities are more heavily concentrated. After years of using this model, the allocation of available resources can become quite disconnected from actual activities, services, and programming.

Second, the University of Alberta's incremental budget model has become overly complicated, as unique sharing and allocation arrangements have been created to distribute dedicated pockets of funding to specific purposes. These special arrangements are sometimes applied equally across all faculties and units and sometimes only to specific faculties and units, which can create inequities that become entrenched over time. In addition, the complexity and disconnect from current activities of budget allocations means that the reasons for differences in the allocation of resources across units are opaque.

Finally, the current incremental model leads to limited transparency around decision-making and limited accountability for outcomes. This limits the university's ability to implement institutional strategic priorities and to integrate strategic planning with multi-year budget planning and reporting.

For all of these reasons, the University committed to the following goal and strategies in *For the Public Good* to ensure that it has the operational foundation in place to support its strategic goals. Objective 22 reads:

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

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

Under the sponsorship of the Provost and Vice-President (Finance and Administration), a Budget Model Working Group (BMWG) was created to develop and implement a new budget model.

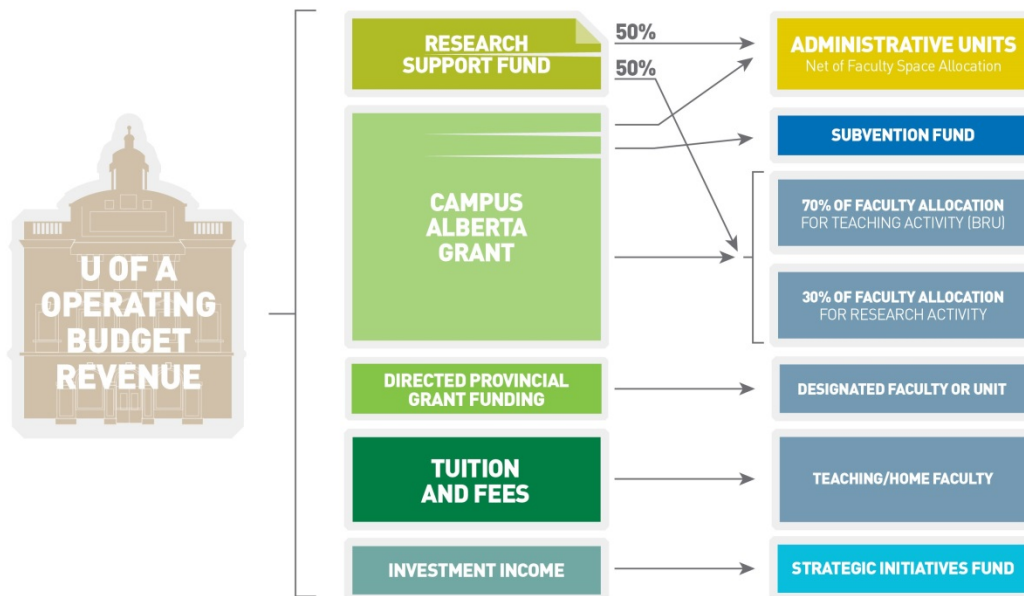
The purpose of the budget model project was to develop a model that provides decision makers in all faculties and units with enhanced transparency, authority and accountability. The university's new budget model outlines the mechanisms and processes for allocating and re-allocating resources to faculties and units in alignment with broad institutional priorities and the university's strategic plan. The model helps to inform decisions for the effective use of resources and support the long-term sustainability of the university's financial position.

The first task of the BMWG was to develop the University of Alberta Budget Model Principles. The following principles were drafted, refined, and approved by Deans' Council in May 2017:

- a. Supremacy of academic priorities – the university's mission and academic priorities as set out in the university's strategic plan are paramount in all decision making. The budget model will facilitate the alignment of resources in support of the university's core mandate of teaching and research.
- b. Transparency – the process for making resource allocation decisions is transparent and sources of institutional resources and comparative data are clearly identified and made available
- c. Accountability – Faculty and unit leadership have the responsibility and authority to make resource allocation decisions and are accountable for achieving performance targets, including financial performance targets.
- d. Simplicity – rules and processes are understandable and actionable
- e. Consistency – rules are applied equitably across all Faculties and units.
- f. Predictability – long-term budget planning is facilitated. Changes to the model will require consultation among stakeholders.

Shaped by these principles, the budget model lays out methods for allocating revenues and costs. The budget model is designed to help us see and understand how revenues are allocated, and how revenues are tied to activities and programs. The proposed model promotes greater transparency and accountability, which, in turn, enables all members of the senior administrative team to make strategic decisions that support the attainment of academic goals and the financial sustainability of the university.

## HOW THE NEW BUDGET MODEL WORKS



### Overview

The budget model outlines the mechanisms and processes for the assignment of revenues and responsibility for costs across the University's faculties and administrative units.

The budget model is activity-based. Faculty revenues depend on teaching and research activities, the University's two core mandates, rather than on the historical allocation of resources.

### Revenue Allocation

The University of Alberta's two largest sources of revenue are the provincial grant and tuition. All provincial grant revenue (less central administration costs) and almost all tuition revenue are allocated by the budget model to the faculties. Almost all revenue that is currently generated directly by and retained by the faculties will remain with the faculties.

### Tuition Allocation

- The basic tuition paid by a student for a course will be allocated to the faculty offering the course. Program Differential (PD) fees are allocated to the program faculty of the student, while Market Modifier (MM) fees go to the faculty offering the course. Faculties offering non-credit or cost recovery programs/courses will receive 85 percent of

the tuition charged. The balance of the 15 percent of cost recovery tuition and non-credit tuition is allocated towards central administrative costs.

- The allocation of tuition to the faculties will include tuition for courses offered in the evening, spring and summer.
- International Differential Fees (IDF), less the amount designated for scholarships (7.55 percent), will all be distributed to the faculties, so these funds will no longer be shared with central units.

#### *Provincial Grant Allocation*

- Base provincial grant revenues (less central administrative costs) will be allocated to the faculties based 70% on each faculty's share of weighted domestic student program enrollments and 30% on four research metrics.
- Faculties and units that receive provincial grant funds that are explicitly designated in the grant letter will continue to receive these funds. If, in subsequent years, funds that had been explicitly designated in the grant letter are rolled into the base grant and no longer explicitly designated, these funds will be distributed using the same methodology as all base grant funds. (The only exception is the rescinded domestic student market modifier funds which, although rolled into the base grant, will continue to be distributed to the faculties.)

#### *70% Grant Allocation for Teaching Activity*

- The budget model allocates 70% of the net basic provincial grant to faculties on the basis of each faculty's share of Basic Revenue Unit (BRU)-weighted domestic student program enrollments. Approximately one-third of total faculty funding is allocated using the BRUs.
- What is a BRU? A BRU is a weight assigned to each faculty that is intended to reflect the per student funding the faculty requires from the provincial grant to offer its programs to domestic students, relative to the other faculties. Each BRU is determined by taking the total cost (including space) of the faculty averaged over the last three years, subtracting the revenues allocated to them in the model, and dividing that figure by domestic program enrolments.
- Domestic undergraduate student enrollments are measured using FLEs, while the number of graduate students is represented by the Full-time Equivalent (FTE), which equals the number of full time graduate students plus one-third of the number of part-time graduate students.
- Funding to support the teaching of international students is provided through basic tuition and International Differential Fees.

#### *30% Grant Allocation for Research*

- The 30% of the net provincial grant allocated on the basis of research metrics is intended to fund the research-support activities of faculties.
- The research metrics are:
  - Restricted Tri-Council research dollars expended (representing 5 of the 30 percentage points)

- Restricted research dollars from non-Tri-Council external sources expended (5 of the 30 percentage points)
- Number of successful external grant applications, both Tri-Council and non-Tri-Council (10 of the 30 percentage points)
- Total dollars spent on graduate students or post-doctoral fellows (PDF) from restricted funds. These include scholarships that flow through the University payroll system, such as Tri-Council scholarships (10 of the 30 percentage points).

#### *Research Support Fund Allocation*

- Half of federal Research Support Funds (RSF) are allocated to the faculties using the research-based metrics and the other half to the central administration to cover a portion of central administrative research support costs. Each faculty's portion of the RSF funds will be identified. This funding will require specific planning, budgeting and reporting from the faculties to ensure that the University of Alberta can meet the requirements for receiving RSF funding as outlined by the federally funded program. The RSO will be in contact with faculties at the beginning of the budgeting cycle to discuss the reporting requirements.
- All other indirect costs of research (ICR) go to the faculty/unit generating the ICR.

To avoid large year-to-year changes in faculty revenues as a result of movements in program and course enrollments, as well as from lumpiness in some revenues, a revenue smoothing mechanism will be employed. For example, revenues could be allocated to the faculties based on the three-year average of the faculty's share of each major revenue type (provincial grant, tuition, IDF, market modifier fees, etc.).

#### *Cost Allocation*

##### *Central Administration Costs*

- Central administration costs will be subtracted from the provincial grant before the remaining grant revenues are distributed to the faculties. Although central administrative unit costs are taken off the top of the provincial grant, it is not intended that this process give priority to the budgets of central administrative units over the budget needs of the faculties.
- As the cost of central services represents a significant percentage of the current Campus Alberta grant, it is important to control these costs and maximize the resources allocated to the core purposes of the university: teaching and research. Thus, a process is put in place for the transparent evaluation and adjustment of central administrative unit budgets. This process requires administrative units to present for approval their budgets, scope of services and activity levels to a committee (Administrative Portfolio Review Committee) made up of the Provost and relevant Vice Presidents. A portfolio review process will also be implemented to review portfolios in more depth on a five-year cycle.

- When considering the level of central administrative unit budgets, the Administrative Portfolio Review Committee will take into account the impact of these budget allocations on the budgets and activities of the faculties.

#### *Costs Allocated to the Faculties and Units*

- Responsibility for all employee salary and benefit costs will continue to be allocated to faculties and units.

#### *Allocation of Space Costs*

- Each faculty will be charged a fee for the spaces that they are assigned (excluding common spaces).
- How is the cost of space determined? The spaces that faculties use are classified by Facilities and Operations as either office/classroom, laboratory, or other. For each, an average, institution-wide cost per square meter is applied. Approximately 95% of the cost of each type of space consists of the cost of utilities, service, and maintenance. The more complex the space, the higher the cost.
- A faculty's space fee will be equal to the amount of space used multiplied by the average, institution-wide square meter cost. Faculties that lease space from a third party will also pay the full rental charge. Finally, all faculties also use centrally booked classroom space for teaching. The cost of this space will be determined by two factors: the total number of hours booked and the capacity of the classroom. The per square meter cost of centrally booked classroom space is the same for all faculties.
- It is important to note that for every dollar that is charged to the faculties for space, a dollar will be subtracted from the amount of the Campus Alberta grant allocated to Facilities & Operations. In other words, for every dollar charged to the faculties for space, there will be an additional dollar distributed to the faculties as per the faculty Campus Alberta 70/30 grant allocation (explained above). Each faculty's space costs have also been included in the calculation of the BRUs.

#### *Strategic Initiatives Fund*

- A Strategic Initiatives Fund (SIF) will be established. The purpose of the SIF is to support strategic initiatives, which will normally be identified in the university's strategic plan.
- The Strategic Initiatives Fund will provide one time funding only, not base funding, although the one-time funding may extend over a period of up to five years.
- Any administrative or academic unit may apply for funding from the SIF. Administrative units will only be allocated resources from the SIF for extraordinary initiatives since the resources required for the normal operation of administrative units should be allocated through the annual administrative review process.
- A complete report on the activities of the SIF and the projects supported will be made to Deans' Council each year. Deans will have the opportunity to pose questions with

respect to the uses of the strategic initiatives fund and the size of the fund but will not vote on or be asked to approve the activities supported by the fund.

- The target size for the SIF is 2 percent of the sum of provincial grant and tuition revenues (currently equal to just under \$20 million).
- It is recommended that there be a five-year transition period during which the 2 percent target is approached gradually.
- The resources devoted to the SIF will be taken from investment income and revenue from the Land Trust, once it is operational and generating revenue.
- The size of the strategic initiatives fund should be reviewed each year by PEC-S.

#### *Benefits of the strategic initiatives fund proposal*

- Funds are available for strategic initiatives that benefit the entire institution.
- SIF positions the university to take advantage of initiatives that require matching funds.
- By providing only one-time funding, the SIF will not be a constant drain on other resources.
- Full reporting to Deans' Council facilitates transparency.

### **Subvention Fund**

- The Subvention Fund is used to support those academic units whose resource allocations under the new budget model cannot fully support the costs of providing programs that are core priorities of the institution.
- Funding would continue for as long as faculty resources remain insufficient to support the designated activities or there is a change in the priorities of the institution.
- Administrative units are not eligible for funding from the subvention fund.
- Decisions on which academic units are to be supported by the subvention fund, and the level of support, will be made by PEC-S.
- Funds allocated to subvention will be taken off the top of the unrestricted portion of the provincial grant before the remaining grant revenue is allocated to the faculties.
- A complete report on the activities of the Subvention Fund will be made to Deans' Council each year.
- Units provided with on-going subvention funding should be reviewed on a regular basis (at least once every five years), with the form of the review determined by PEC-S.

#### *Benefits of the subvention fund*

- Academic unit activities that are core priorities of the institution are supported even if the model allocates insufficient funds to a faculty to resource these activities.
- Full reporting to Deans' Council means there is transparency in the level of subvention provided to academic units.
- The level of subvention funding is reviewed at least once every five years.

- Funding the subvention fund off the top of the provincial grant makes the tradeoff clear – more resources allocated to subvention means a lower level of resources allocated to the other faculties to support teaching and research.

### **Transitional Resource Re-Allocation Process**

- Following the introduction of the new budget model, faculties that receive fewer resources than their current base budget allocation may require time to adjust their expenditures to the lower level of resources available under the new model.
- The complete transition to the new revenue allocation may take place over a period of five years, so all funding for transition will end within five years of the introduction of the new budget model.
- In the future, if a particular faculty were impacted by a negative revenue shock, the faculty may require transitional resources to assist in its adjustment to its new level of resources. In this type of circumstance, it is proposed that, if PEC-S approves transitional assistance for the faculty, revenues be taken off the top of the provincial grant to fund this assistance. Assistance will be provided for a period of from one to a maximum of three years.
- Annual reporting on the level of provincial grant funds used to assist the transition of faculties will be provided to Deans' Council.

#### *Benefits of the transitional resource re-allocation process*

- Provides faculties time to adjust to new levels of revenue.
- The transition process is based on a formula, so is simple and transparent.
- Full reporting to Deans' Council gives transparency to any additional allocation of funds to support transition.
- Transition funding in response to the introduction of the new budget model will last no more than five years.

### **Summary of the Benefits of the Budget Model**

- The model is relatively simple and promotes transparency.
- Revenue allocation is based on current activities rather than historical budget allocations.
- Faculties receive the revenues that flow from their activities and are responsible for resource allocation decisions.
- The revenue allocation mechanism reflects the two core mandates of the University – teaching and research.
- Allowance is made for differences in faculty program costs.
- The resource allocation mechanism gives a prominent role to research and emphasizes the acquisition of external funds.
- Faculties are induced to provide programs/courses that are attractive to students.



- The determinants of the revenues of each faculty are transparent. Each Dean will know the dollar value of faculty revenues that come from the program enrollment-based portion of the grant; the four individual research drivers of the grant allocation; basic tuition; cost recovery tuition; IDF funds; etc.
- Costs that depend on faculty choices are allocated to the faculties.
- Allocation of all compensation costs means that faculties/units bear the full cost of hiring decisions.
- Allocation of space and classroom costs to faculties aligns costs with the unit making the space usage decision and should promote the more efficient use of space.
- A process is established to review the budgets and activities of central administrative units on an annual basis. Full reporting to the deans generates enhanced transparency with regard to administrative unit budgets.
- All central administrative units are subject to the same budget review process and the budgets of none of the units depend on access to special sources of funds, so all central administrative units are subject to the same degree of cost control.
- Funds are available for strategic initiatives that benefit the entire institution.
- Faculty-level activities that are core to the institution can be supported through the subvention fund if the model allocates insufficient funds to a faculty to fund these activities.

**Item No. 12.1**

**Question 12.1 from GFC Elected Faculty Member Dilini Vethanayagam (submitted by email November 19, 2018)**

It appears more and more phishing and predatory journal publishers are able to access faculty, staff and students through email (via gmail) at U of A.

Gmail was chosen ~2012 for campus-wide use as its primary server. Gmail has all its servers hosted in the US. This also creates other privacy concerns (US Patriot Act).

Research - research, and in particular clinical research, also suffers from the limitations of gmail. One are for instance is the inability for long-term storage which IST has been working on a solution for since the transition to gmail. This is in opposition to outlook clients (which we previously had) - who have more stream-lined access to creation and storage of pst files. To reduce paper storage of some studies that can hold over 5000 emails (many with important attachments), it is useful to find a better solution than gmail.

Question - Is the U of A going to consider another hosting group (as opposed to gmail)?

**Response 12.1 from Brian Stewart, Deputy CIO, on behalf of IST**

Thank you for your question on the University's email platform. The answer is reflective of the multiple parts and deals with each component in sequence.

**Discussion:**

[It appears more and more phishing and predatory journal publishers are able to access faculty, staff and students through email \(via gmail\) at U of A.](#)

Large research intensive Universities like ours are continuously subjected to phishing and predatory journal attacks and abuses. With respect to the former, Google has "best of breed" anti-spam and anti-phishing controls. However, no email platform can guarantee absolute immunity to susceptibility from phishing attacks. The best defense in this regard is to have the "human" receiving the phishing email aware and prepared to deal with it, therefore our controls are focused on awareness and training in addition to Google's and the University's technical controls. For examples of phishing awareness and tips to safeguard against such social engineering see the CISO website: <https://www.ualberta.ca/office-of-the-chief-information-security-officer>, the lead stories/articles relate to phishing awareness. These very articles and tips have been featured in recent times in University-wide communications such as the weekly Quad blog (<https://blog.ualberta.ca/dont-lose-your-money-to-phishers-f784dfdd7956>) and University social media, including but not limited to, facebook (<https://www.facebook.com/ualberta/>: November 16, 2018) and twitter (<https://twitter.com/UAlbertaIST/status/1063486562422280192> also on November 16, 2018).

Regarding the University's actions against predatory journal publications, there is a collaborative effort among Trademark and Licensing (University Relations) and specifically Brenda Briggs, General Counsel (Brad Hamdon), and the Chief Information Security Officer (CISO) - Gordie

**Item No. 12.1**

Mah, to identify and receive claims/intake of these infractions. Upon validation of infractions, and where possible and based on higher levels of risk and liability to the University, this collaborative then works towards “take-down” orders and any other legal recourse at our disposal. Again, this is not a platform specific phenomena and not unique to Google for Education.

Gmail was chosen ~2012 for campus-wide use as its primary server. Gmail has all its servers hosted in the US. This also creates other privacy concerns (US Patriot Act).

With respect to the risks from transborder data flow and specifically from unauthorized access and disclosure of University records and information by US authorities, this risk has been assessed and addressed in the initial Privacy Impact Assessment (PIA) conducted by the University prior to our engagement with UAlberta Google for Education (and this suite includes UAlberta Gmail and Drive). Thorough investigation and research, including collaboration with the Alberta Office of the Information and Privacy Commissioner (OIPC), determined that there is no appreciable legal or other risk from such trans-border data flow. Essentially, if records and information are of such a sensitive nature that there will be harm from access and/or disclosure from unauthorized sources such as foreign government entities, then the data custodian/owner must safeguard accordingly. Such additional safeguards include file encryption where only the file owner controls the encryption keys and/or using other communication means than email. These risks and corresponding safeguards apply not only to transborder data flows but any such communications and scenarios (even if locally/self-hosted and/or provisioned).

Research - research, and in particular clinical research, also suffers from the limitations of gmail. One area for instance is the inability for long-term storage which IST has been working on a solution for since the transition to gmail. This is in opposition to outlook clients (which we previously had) - who have more stream-lined access to creation and storage of pst files. To reduce paper storage of some studies that can hold over 5000 emails (many with important attachments), it is useful to find a better solution than gmail.

Regarding longer term records management, email generally speaking is not intended as a long term archive and storage repository. Instead of the transitory nature of email, preferred archive and storage options are available through University and Faculty/Department based file shares. Other options include research storage provided in partnership with Compute Canada (<https://ist.ualberta.ca/research-computing/storage>) that ranges from the 50GB to petabytes for large research projects, and Google Drive that offers unlimited storage at no cost for G Suite for Education customers (<https://ist.ualberta.ca/blog/news/ransomware-protection-and-more-google-drive> and (<https://ist.ualberta.ca/blog/news/team-drive-joins-ualberta-google-suite-august>)).

Finally, regarding the current status of UAlberta Google as the University's email communications platform, the business, information management, privacy, security, and financial needs, thoroughly assessed in 2010, are still being fulfilled by our UAlberta Google engagement. In addition, UAlberta Google continues to address the (historical) issues from the disparate, decentralized, and unnecessary duplication, costs, and security/privacy risks from what was the 87 email server silos at that time. Further to this the cost and time of adopting an alternate solution are non-trivial and would embark the institution on a significant change program that would, given the above, prove very unlikely to justify the effort.

**Conclusion:** Google's G Suite for Education productivity tools which the University of Alberta adopted as the University standard continues to provide a cost effective, secure, effective and

**GENERAL FACULTIES COUNCIL**  
For the Meeting of November 26, 2018

**Item No. 12.1**

reliable environment that meets the requirements of the institution. We are therefore, not seeking to replace Gmail at this time.

I would like to take this opportunity to assure the members of the General Faculties Council that IST is committed to supporting the institution's digital communications by providing a highly functional, secure and sustainable email service that meets the community's needs. And to continue to work with the members as we identify new uses and capabilities for adoption as the system continues to develop and improve.

**Item No. 12.2**

**Question 12.2 from GFC Elected Faculty Member Carolyn Sale (submitted by email November 19, 2018)**

This is a question for President Turpin as the chair of the Steering Committee for the Signature Research Areas.

Could the President describe the steps that are being taken in the second round of decisions for the University's "Signature Areas" to ensure that all decision-making is fair and equitable — for example, that all applicants are required to submit the same materials (that is, meet the same criteria) by way of proposal and that members of the SADP declare conflicts of interest, such as when they are proponents of a signature area or a signature area proposal that might be perceived as being in competition with another?

**Response 12.2 from President and Vice-Chancellor (posted with GFC materials November 23, 2018)**

Proposed signature areas of research and teaching are reviewed by the Signature Areas Development Panel (SADP), co-chaired by the Provost and Vice-President (Academic) and Vice-President (Research). The SADP consists of twenty members from across the institution and various roles, including Deans, Chairs, faculty members, students and graduate students. The SADP is responsible for considering ideas from across the academy, developing potential areas through synthesis and connection, and then evaluating these against the criteria in For the Public Good (objective 12). The SADP makes recommendations, which are presented to Deans' Council for review and endorsement.

During the first cycle of signature area identification, the SADP received 57 proposals. The first cycle of signature area identification was completed in Fall 2018 with the formal launch of three areas: Precision Health, Energy Systems, and Research at the Intersections of Gender.

During its review process, the SADP also identified several additional areas which, with further development, had the potential to meet the criteria to be designated a signature area. Over the summer and fall of 2018, subgroups of the SADP were tasked to continue to work with proponents in these areas to develop combined proposals, which the SADP would review in November 2018.

The SADP inevitably has to deal with conflicts of interest. It has ensured a fair and equitable process by providing a common set of proposal development guidelines to each proponent group (outlining required content elements and format guidelines), and by continuing to evaluate all proposals against the criteria established in For the Public Good. Each proposal is assessed on its ability to satisfy the signature area criteria. There is no predetermined number of successful proposals.

**Item No. 12.2**

The SADP manages real and perceived conflicts of interest by asking members to disclose their involvement in Signature Area proposals to the panel, including noting where they have played a leading role in proposal development. As the Signature Areas are broad in scope and involve large numbers of faculty across multiple disciplines and Faculties, involvement in a proposal does not preclude an SADP member from participating in the SADP's discussions concerning that proposal provided that the involvement is transparent to the panel as a whole. The SADP co-chairs have the discretion to establish additional measures to manage conflicts, such as requesting that an SADP member recuse him/herself from a portion of the discussion, but this has not been required to date.

General Faculties Council Standing Committee Report

**GFC Executive Committee**

1. Since the last GFC meeting, the Executive Committee met on November 19, 2018.
  
2. Items Approved Under Delegated Authority
  - Approved - Proposed New Course Designator of KSR (Kinesiology, Sport, and Recreation), Faculty of Kinesiology, Sport, and Recreation
  - Approved - Proposed Changes to Composition of Faculty Council, Augustana Faculty
  - Recommend to GFC - Proposed Revisions to Standing Committee Terms of Reference - GFC University Teaching Committee (UTAC)
  - Recommend to GFC - Proposed Changes to the Doctor of Medicine (MD) Program Admissions for Aboriginal Applicants, Faculty of Medicine and Dentistry
  
3. Items Discussed
  - General Appeals Committee (GAC) Annual Report to General Faculties Council (July 1, 2016 - June 30, 2017)
  - 2017/18 Annual Report of Student Conduct Responses, Dean of Students' Portfolio
  - Annual Report of the Appeals and Compliance Officer (2017-2018)
  - Board of Governors/GFC/Senate Summit
  - Update on ad hoc recommendations

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](https://www.ualberta.ca/governance/member-zone/gfc-standing-committees#GFC_EXEC)

Submitted by:  
David Turpin, Chair  
GFC Executive Committee

General Faculties Council Standing Committee Report

**GFC Academic Planning Committee**

1. Since last reporting to GFC, the Academic Planning Committee met on October 24, and November 7, 2018.

2. Items Approved with Delegated Authority from GFC

October 24, 2018

- New Academic Centre - Digital Scholarship Centre

November 7, 2018

- Proposed Changes to the Doctor of Dental Surgery (DDS), Faculty of Medicine and Dentistry
- Proposal from the Faculty of Graduate Studies and Research for Program Changes to the MA and PhD programs in Economics
- Increase to Required English Language Proficiency (ELP) Scores for Undergraduate Admissions - Alignment Across Tests

3. Items Recommended to GFC

November 7, 2018

- Proposed Revisions to the Animal Ethics Policy and Procedures

4. Items Discussed

- Draft Tri-Agency Research Data Management Policy
- Annual Report on Undergraduate Student Financial Support
- Equity, Diversity, and Inclusivity (EDI) Strategic Plan
- Enterprise Risk Management and Institutional Risks
- New Budget Model

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](https://www.ualberta.ca/governance/member-zone/gfc-standing-committees#GFC_APC)

Submitted by:  
Steven Dew, Chair  
GFC Academic Planning Committee



General Faculties Council Standing Committee Report

**GFC Academic Standards Committee**

1. Since last reporting to GFC, the Academic Standards Committee met on October 18 and November 8 2018.
2. Items Approved with Delegated Authority from GFC

October 18, 2018

- Transfer Credit Approvals and Denials for October 2018, Office of the Registrar
- Doctor of Pharmacy (PharmD) Entrance Requirements and Academic Standing Regulations, Faculty of Pharmacy and Pharmaceutical Sciences
- Transition Year Program Entrance Requirements for Bachelor of Science in Nursing, Faculty of Nursing
- Changes to Standard Calendar Language for Entrance Requirements, Faculty of Graduate Studies and Research (FGSR)
- Proposed Changes to the Doctor of Dental Surgery (DDS) Academic Standing Regulations, Faculty of Medicine and Dentistry
- Proposed Changes to the Bachelor of Science in Dental Hygiene Program Entrance Requirements and Academic Standing Regulations, Faculty of Medicine and Dentistry
- Proposed Changes to Existing Entrance Requirements for the Bachelor of Education Program, Faculty of Education
- Proposed Changes to Existing Entrance/Transfer Requirements for the Master's and Doctoral Programs in Educational Policy Studies, Faculty of Education and the Faculty of Graduate Studies and Research
- Proposed Changes to Existing Entrance Requirements and Academic Standing Regulations for Graduate Programs in Secondary Education, Faculty of Education and the Faculty of Graduate Studies and Research
- Proposed Changes to Existing Entrance Requirements and Academic Standing Regulations for Graduate Programs in Computing Science, Faculty of Science and the Faculty of Graduate Studies and Research

November 8, 2018

- Transfer Credit Approvals and Denials for November 2018, Office of the Registrar
- Changes to Calendar Language for Registration Information, Faculty of Graduate Studies and Research (FGSR)
- Changes to MScSLP/PhD Application Requirements, Department of Communication Sciences and Disorders, Faculty of Rehabilitation Medicine, and FGSR
- Changes to Application Requirements for the Bachelor of Arts in Biology, Augustana Faculty
- Proposed Non-Credit Certificate in Business Analysis, Faculty of Extension
- Proposed Changes to Existing Entrance Requirements and Application Deadlines for the MA, MSc, and PhD Degree Programs in Psychology, Faculty of Arts, Faculty of Science and the Faculty of Graduate Studies and Research
- Proposed Changes to Existing Entrance Requirements, Application Deadlines and Academic Standing Regulations for the MSc, MEng and PhD Degree Programs in Mechanical Engineering, Faculty of Engineering and the Faculty of Graduate Studies and Research
- Proposed Changes to Existing Entrance Requirements for the MA and PhD Degree Programs in Economics, Faculty of Arts and the Faculty of Graduate Studies and Research

Item No. 15

- Proposed Changes to Existing Entrance Requirements, Application Deadlines and Academic Standing Regulations for the MA, MMus, DMus, and PhD Degree Programs in Music, Faculty of Arts and the Faculty of Graduate Studies and Research
- Proposed Changes to Existing Entrance Requirements for the MEd Degree Program in Études en Langue et Culture, Faculté St-Jean and the Faculty of Graduate Studies and Research
- Proposed Changes to Existing Entrance Requirements, Application Deadlines and Academic Standing Regulations for the MAg, MSc and PhD Degree Programs in Resource Economics and Environmental Sociology, Faculty of Agricultural, Life and Environmental Sciences and the Faculty of Graduate Studies and Research
- Proposed Changes to Faculty Regulations in the University Calendar for Programs in the Faculty of Agricultural, Life and Environmental Sciences
- Proposed Changes to Existing Academic Standing Regulations for the BKIN, BScKin, BARST, BKin/BEEd Programs in the Faculty of Kinesiology, Sport, and Recreation
- Proposal from the Faculty of Graduate Studies and Research for Admission/Transfer and Academic Standing Regulations for a New Combined Master of Business Administration/Master of Science in Physical Therapy Program, the Faculty of Business and the Faculty of Rehabilitation Medicine
- Proposed Changes to Existing Entrance Requirements for the MA Degree Programs in Gender and Social Justice Studies, Department of Women's and Gender Studies, Faculty of Arts and the Faculty of Graduate Studies and Research
- Proposal from the Faculty of Graduate Studies and Research to Increase the Minimum IELTS Band Score to 5.5, for Early Implementation for Fall 2019 Admissions
- Proposed Changes to the Admission/Transfer and Academic Standing Regulations for the Bachelor of Fine Arts (BFA) in Drama (Theatre Design) and the Suspension of the BFA in Drama (Technical Theatre), Faculty of Arts

3. Items Recommended to GFC

- Proposed Changes to the Doctor of Medicine (MD) Program Admissions for Aboriginal Applicants, Faculty of Medicine and Dentistry

4. Items Discussed

- External Programs for Review and Programs in Progress on Campus

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](https://www.ualberta.ca/governance/member-zone/gfc-standing-committees#GFC_ASC)

Submitted by:  
Tammy Hopper  
Chair, GFC Academic Standards Committee



14-November-2018

[CIRCULATION BY EMAIL]

*The GFC 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. (NC ToFR).*

For details regarding GFC/GFC Standing Committees (ie, Terms of Reference, current membership listing, meeting schedule) please visit the "[Member Zone](http://www.governance.ualberta.ca)" at the University Governance website ([www.governance.ualberta.ca](http://www.governance.ualberta.ca)).

**The following nominations are presented by the GFC Nominating Committee for consideration by GFC.** Upon receipt of this report, members of GFC may submit additional nominations to Ann Hodgson, Coordinator, GFC Nominating Committee (by email to [ann.hodgson@ualberta.ca](mailto:ann.hodgson@ualberta.ca)). Additional nominations must be received by 12:00 pm, Monday, November 19, 2018.

- Academic Staff member (category A1.0)
- Academic Staff – faculty member (categories A1.1, A1.6/counterparts in A1.5, A1.7)
- Non Academic Staff member (category S1.0)
- Undergraduate Student (UDG)
- Graduate Student (G)
- General Faculties Council - current serving member (GFC)

**GFC ACADEMIC PLANNING COMMITTEE**

<b>Action Required by GFC:</b>			
<ul style="list-style-type: none"> <li>• to fill <u>one</u> vacancy calling for a faculty member currently serving on (GFC)</li> <li>• to fill <u>one</u> vacancy calling for a faculty member at large</li> </ul>			
<u>Nominee</u>	<u>Faculty</u>	<u>Term Beginning</u>	<u>Term End</u>
Pirkko Markula (GFC)	Kinesiology, Sport, and Recreation	Immediately upon approval	June 30, 2021
Susanne Luhmann (GFC)	Arts	Immediately upon approval	June 30, 2021

**GFC ACADEMIC STANDARDS COMMITTEE**

<b>Action Required by GFC:</b> to fill <u>one</u> vacancy calling for an undergraduate student at large			
<u>Nominee</u>	<u>Faculty</u>	<u>Term Beginning</u>	<u>Term End</u>
Shuaa Rizvi (UDG)/GFC	Science	Immediately upon approval	April 30, 2019

**GFC COMMITTEE ON THE LEARNING ENVIRONMENT**

<b>Action Required by GFC:</b>			
<ul style="list-style-type: none"> <li>• to fill <u>one</u> vacancy calling an academic staff member at large</li> <li>• to fill <u>one</u> vacancy calling for a graduate student at large</li> </ul>			
<u>Nominee</u>	<u>Faculty</u>	<u>Term Beginning</u>	<u>Term End</u>
Christine Wiesenthal	Arts	Immediately upon approval	June 30, 2021
Kyle Foster (G)	Science	Immediately upon approval	April 30, 2019



**GFC EXECUTIVE COMMITTEE**

<b>Action Required by GFC:</b> to fill <u>one</u> vacancy calling for a faculty member currently serving on (GFC)			
<u>Nominee</u>	<u>Faculty/Unit</u>	<u>Term Beginning</u>	<u>Term End</u>
Mary Forhan (GFC)	Rehabilitation Medicine	Immediately upon approval	June 30, 2021

**GFC NOMINATING COMMITTEE**

<b>Action Required by GFC:</b> to fill <u>two</u> vacancies calling for faculty members currently serving on (GFC)			
<u>Nominee</u>	<u>Faculty/Unit</u>	<u>Term Beginning</u>	<u>Term End</u>
Piet Defraeye (GFC)	Arts	Immediately upon approval	June 30, 2021
Christina Rinaldi (GFC)	<b>Education *</b>	Immediately upon approval	June 30, 2021

**GFC UNIVERSITY TEACHING AWARDS COMMITTEE**

<b>Action Required by GFC:</b> To fill <u>one</u> vacancy calling for an undergraduate student at large			
<u>Nominee</u>	<u>Faculty</u>	<u>Term Beginning</u>	<u>Term End</u>
Alison Cheng (UDG)	Science	Immediately upon approval	April 30, 2019

[END]

**OUTLINE OF ISSUE**  
**Advice, Discussion, Information Item**

Agenda Title: **General Appeals Committee (GAC) Annual Report to General Faculties Council (July 1, 2017 – June 30, 2018)**

**Item**

Proposed by	John Law, Special Advisor, Faculty and Staff Relations
Presenter	John Law, Special Advisor, Faculty and Staff Relations

**Details**

Responsibility	Provost and Vice-President (Academic)
The Purpose of the item is (please be specific)	To comply with GFC-legislated reporting requirements
Timeline/Implementation Date	N/A
Supplementary Notes and context	N/A

**Engagement and Routing** (Include meeting dates)

Participation: (parties who have seen the proposal and in what capacity)	<u><i>Those who have been informed:</i></u> <ul style="list-style-type: none"> <li>• GFC Executive Committee (for discussion) – November 19, 2018</li> <li>• General Faculties Council (for information) – November 26, 2018</li> </ul>
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**Alignment/Compliance**

Alignment with Guiding Documents	<i>For the Public Good - Goal of Excel: "Excel as individuals, and together, sustain a culture that fosters and champions distinction and distinctiveness in teaching, learning, research, and service."</i>
Compliance with Legislation, Policy and/or Procedure Relevant to the Proposal (please quote legislation and include identifying section numbers)	<i>Post-Secondary Learning Act (PSLA)</i>  GFC Policy Manual Section 56.2 ( <i>General Appeals Committee Reports</i> ). The GAC is a committee established under Section 15 of the Board/AASUA Agreement (Faculty) and, until 1977, was a GFC committee. Currently, it is one of several non-GFC committees requested to provide an annual report to GFC. GFC requests that the report include a statistical summary of cases and their dispositions and protect the confidentiality of individual cases.  GFC Terms of Reference

Attachments

1. Attachment 1 (pages 1 – 4): General Appeals Committee (GAC) Annual Report to General Faculties Council (July 1, 2017 – June 30, 2018)

Prepared by: John Law, Special Advisor, Faculty and Staff Relations, johnlaw@ualberta.ca

## GENERAL APPEALS COMMITTEE

Annual Report to General Faculties Council  
July 1, 2017 – June 30, 2018

The General Appeals panel members for the year were:

Dr. N. Amaral	Faculty of Science
Dr. G. Anderson	Faculty of Arts
Dr. J. Buriak	Faculty of Science
Dr. J. Considine	Faculty of Arts
Dr. S. Scott	Faculty of Nursing
Dr. C. Deutsch	Faculty of Engineering
Dr. M. Gingras	Faculty of Science
Dr. J. Harrington	Faculty of Law
Dr. N. Krogman	Faculty of Agricultural, Life and Environmental Sciences
Dr. B. Lemire	Faculty of Medicine & Dentistry
Dr. D. Mason	Faculty of Physical Education and Recreation
Dr. P. Melançon	Faculty of Medicine & Dentistry
Dr. M. Michalak	Faculty of Medicine & Dentistry
Dr. E. Simmt	Faculty of Education

Panel of Chairs as Provost and Vice-President (Academic) designates:

Dr. J. Considine	Faculty of Arts
Dr. R. Epp	Provost & VP (Academic) – University of Alberta North
Dr. K. Hegadoren	Faculty of Nursing
Dr. R. Luth	Faculty of Science
Dr. D. McConnell	Faculty of Rehabilitation Medicine

Eight appeals were made under the provisions of Article 15 of the Faculty Agreement. This Article provides for appeals of Faculty Evaluation Committee decisions to be heard by the General Appeals Committee (GAC), the membership of which shall be the Provost and Vice-President (Academic) or a designate as Chair; three members from the above Panel, none of whom shall be from the same Faculty as the appellant; and two tenured staff members selected jointly by the President of the University and the President of the AASUA, who shall be from the same Faculty as the appellant.

The results of the eight appeals can be categorized as follows:

- Four appeals of 0(b); one of which was withdrawn, two were dismissed, and one was allowed with the award of a 0.5 increment.
- Two appeals of a 0.5 increment; one of which was dismissed and the other allowed with the award of a 0.75 increment.
- Two 0(d) appeals, one was allowed with an increment of 0(b) awarded and the other appeal from a Faculty Service Officer (FSO) was dismissed.

During the last ten years, the GAC has changed FEC decisions in 40% of the cases.

Two 10-year summaries are attached for information (one by decision, and one by Faculty).

Ten-Year Summary by Faculty of Cases Heard

2008-09 to 2017-18

<b>Faculty</b>	<b>Number of Appeals</b>
ALES	3
Arts	8
Augustana	3
Business	2
Education	1
Engineering	4
Extension	2
Medicine and Dentistry	4
Native Studies	1
Nursing	2
Pharmacy	2
Physical Education and Recreation	1
Public Health	5
Rehabilitation Medicine	2
Science	13
<b>TOTAL:</b>	<b>53</b>

Ten Year Summary  
2008-09 to 2017-18

Year	Faculty	Tenure	Promotion	Increment				Faculty Total	Year Total
				0d	0	0.5	0.75		
2008-09	Arts				1 G <sub>3</sub>			1	2
	Science				1 G <sub>1</sub>			1	
2009-10	Public Health					1 U		1	2
	Science				1 U			1	
2010-11	Arts			1 G <sub>1</sub>				1	5
	Science					1 U		1	
	Pharmacy		1 G			1 UW		2	
	Native Studies			1 G <sub>1</sub>				1	
2011-12	Nursing				1 U			1	8
	ALES	1 U 1 UW				1 U		3	
	Arts	1 UW	1 G			1 U		3	
	Engineering	1 (FSO) UW						1	
2012-13	Arts	1 U 1 UW						2	7
	Public Health				1 G <sub>3</sub> 1 U	1 G <sub>2</sub>		3	
	Medicine & Dentistry	1 G	1 U					2	
2013-14	Business		1 U					1	7
	Engineering		1 U				1 U	2	
	Science	1 UW		1 U	1 G <sub>3</sub> (0.25)			3	
	Medicine & Dentistry	1 G						1	
2014-15	Arts	1 G						1	6
	Science	1 G <sub>4</sub>						1	
	Education						1 U	1	
	Phys. Ed and Rec					1 G <sub>3</sub> (0.75)		1	
	Business	1 G <sub>4</sub>						1	
	Rehab Medicine	1 U						1	
2015-16	Public Health			1 U				1	6
	Science	1 G		1 U			1 U	3	
	Rehab Medicine			1 G <sub>1</sub>				1	
	Medicine & Dentistry		1 G					1	
2016-17	Science			1 UW			1 UW	2	2



Year	Faculty	Tenure	Promotion	Increment				Faculty Total	Year Total
				0d	0b	0.5	0.75		
2017-18	Science				1 UW			1	8
	Augustana			1 G <sub>1</sub>	1 U 1 G <sub>3</sub> (0.5)			3	
	Engineering					1 U		1	
	Faculty*			1 U	1U			2	
	Nursing					1 G <sub>3</sub> (0.75)		1	
<b>TOTALS</b>		<b>14</b>	<b>6</b>	<b>9</b>	<b>11</b>	<b>9</b>	<b>4</b>	<b>53</b>	<b>53</b>

**LEGEND:**

G	FEC decision overturned (Appeal granted)
G <sub>1</sub>	FEC decision overturned. Replaced with 0(b)
G <sub>2</sub>	FEC decision overturned. Replaced with single increment.
G <sub>3</sub>	FEC decision overturned. Replaced with partial increment (0.25, 0.5, 0.75)
G <sub>4</sub>	Extension granted
U	FEC decision upheld – FEC decision stands (Appeal dismissed)
UW	Withdrawn

\* Faculty withheld as information may identify individual

Item No. 17B

**Governance Executive Summary**  
**Advice, Discussion, Information Item**

<b>Agenda Title</b>	2017/18 Annual Report of Student Conduct Responses, Dean of Students' Portfolio
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**Item**

Proposed by	Andre Costopoulos, Vice-Provost and Dean of Students
Presenter	Andre Costopoulos, Vice-Provost and Dean of Students

**Details**

Responsibility	Provost and Vice-President (Academic)
The Purpose of the Proposal is (please be specific)	To provide the GFC Student Conduct Policy Committee (SCPC) with the annual report on student conduct across the Dean of Students' portfolio for the 2017-18 academic year.
Executive Summary (outline the specific item – and remember your audience)	In previous years, statistics from Student Conduct & Accountability and Residence Services were presented separately. The data provided did not account for other actions taken under University policy relating to student conduct. This year's report pulls together seven University policies/procedures related to conduct of students and provides information about how they are applied, as well as statistical information. The policies/procedures include the <i>Residence Community Standards</i> , the <i>Breach of Residence Agreement</i> , <i>Augustana Residence Community Standards</i> , the <i>Code of Student Behaviour</i> , the <i>Protocol for Urgent Cases of Disruptive, Threatening or Violent Conduct</i> (Protocol 91), the <i>Sexual Violence Policy</i> , and the <i>Student Groups Procedure</i> .
Supplementary Notes and context	During the October 25, 2018 meeting of SCPC, members discussed the following: <ul style="list-style-type: none"> <li>• Members asked that the university establish a coordinator position to ensure sustainable restorative justice.</li> <li>• Members were concerned that rates of disclosure for sexual violence are much lower than rates of self-reporting.</li> <li>• Members also asked that a breakdown in reporting by facility/geographic variable/student demographic would be helpful.</li> <li>• Members also asked the Dean of Students to follow up with Counselling Services regarding supports for those who disclose their own sexual misconduct.</li> <li>• Members also asked about support and reporting of student groups who feel pressure from faculty members to break university regulations regarding liquor licensing at events.</li> </ul>

**Engagement and Routing** (Include proposed plan)

Consultation and Stakeholder Participation	GFC SCPC, October 25, 2018 GFC Executive Committee, November 19, 2018 General Faculties Council (as an information report), November 26, 2018
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**Strategic Alignment**

Alignment with <i>For the Public Good</i>	19. OBJECTIVE Prioritize and sustain student, faculty, and staff health, wellness, and safety by delivering proactive, relevant, responsive, and accessible services and initiatives. 21. OBJECTIVE
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Item No. 17B

	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.	
Alignment with Institutional Risk Indicator	Please note below the specific institutional risk(s) this proposal is addressing.	
Legislative Compliance and jurisdiction	<input type="checkbox"/> Enrolment Management <input type="checkbox"/> Faculty and Staff <input type="checkbox"/> Funding and Resource Management <input type="checkbox"/> IT Services, Software and Hardware <input type="checkbox"/> Leadership and Change <input type="checkbox"/> Physical Infrastructure	<input type="checkbox"/> Relationship with Stakeholders <input checked="" type="checkbox"/> Reputation <input type="checkbox"/> Research Enterprise <input checked="" type="checkbox"/> Safety <input checked="" type="checkbox"/> Student Success

Legislative Compliance and jurisdiction

*Post-Secondary Learning Act (PSLA)*  
 GFC Student Conduct Policy Committee Terms of Reference  
 GFC Executive Committee Terms of Reference  
 GFC Terms of Reference  
 Board Learning and Discovery Committee Terms of Reference

Attachments (each to be numbered 1 - <>)

1. 2017/18 Annual Report of Student Conduct Responses, Dean of Students' Portfolio (pages 1 - 12)

Prepared by: Deborah Eerkes, Director, Student Conduct and Accountability, deerkes@ualberta.ca

# 2017/18 Annual Report of Student Conduct Responses

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Dean of Students' Portfolio  
2017- 2018 Academic Year

October 2018



# Table of Contents

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Introduction .....	3
Residence Community Standards Policy .....	3
Breach of Residence Agreement .....	4
Augustana Community Standards .....	5
Code of Student Behaviour .....	6
Protocol for Urgent Cases of Disruptive, Threatening, or Violent Conduct (Protocol 91) .....	8
Sexual Violence Policy .....	9
Student Groups Procedure .....	10
Appendix A - 3 Year Trends .....	11

# Introduction

This report covers non-academic<sup>1</sup> behaviour as addressed across the Dean of Students' portfolio for the 2017/18 academic year. It is organized by relevant policy, including the *Residence Community Standards*, Residence Agreement (i.e. rental contract), *Augustana Student Residence Community Standards*, *Code of Student Behaviour*, *Sexual Violence Policy*, the *GFC Protocol for Urgent Cases of Disruptive, Threatening or Violent Behaviour*, and the *Student Groups Procedure*.

Units within the Dean of Students' portfolio also work closely with Helping Individuals At Risk (HIAR) to provide the necessary supports to students whose behaviour causes concern but does not constitute misconduct. This report does not include any actions taken with respect to students of concern.

Three year trends, where available, are provided in Appendix A.

## Residence Community Standards Policy

[Policy Link](#)

**Focus:** Restorative Justice

**Administered by:** Residence Life

**Time period of report:** May 1, 2017 - August 31, 2018

The Residence Community Standards Policy addresses both resident misconduct and resident conflict restoratively. Only students in residence are subject to this policy, which provides a framework to recognize and prevent unacceptable behaviour in the Residence community and resolve the issues in a positive and constructive way. Rather than defining offences, the framework focuses on the effects of misconduct on the community. In doing so, allows residents to identify and repair harms, and build trust in the community.

Restorative responses include Community Resolutions (a restorative conversation between staff and responsible student), Restorative Meetings (facilitated discussion between a harmed person and a responsible student), and Restorative Conferences (facilitated discussion with multiple parties, including those harmed, responsible student(s) and relevant community members). The desired outcome, a Restorative Agreement, is highly personalized and specific to the needs of those directly involved.

Engaging with Restorative Justice (RJ) is voluntary. If for any reason RJ is not available or appropriate, the University will use one of the other available processes to resolve the issue (*Code of Student Behaviour* and/or *Breach of Residence Agreement*) without prejudice. When a Restorative Agreement is reached and fulfilled, the matter is considered to be closed and no other University process is applied. If a student fails to meet the agreed repairs, they are considered in breach of their Residence Agreement.

### **Potential outcomes:**

Restorative Agreement or no Restorative Agreement

For the 2017/2018 academic year:	
Community Resolution	441
Apology Letter	1
Behavioural Agreement	82
Restitution	3

<sup>1</sup> For information related to academic misconduct, see the report of the Appeals and Compliance Officer.

# Breach of Residence Agreement

**Focus:** Breach of contract

**Administered by:** Residence Services

**Time period of report:** May 1, 2017 - August 31, 2018

The Residence Agreement is the rental contract between the student (as tenant) and the University (as landlord). It lays out the terms of the rental, including rent, payment, maintenance, and behaviour. Evictions under the Breach of Residence Agreement can be behaviourally-based, or can be a result of other factors.

A behaviour that leads to a Breach of Residence Agreement may also be addressed under the Code of Student Behaviour and/or the Protocol for Urgent Cases of Disruptive, Threatening, or Violent Conduct.

**Potential outcomes:**

Letter expectations, letter of warning, eviction, damage/cleaning charge, or visiting restriction

**Notable Trends in Residence:**

1. There has been a marked increase in weapons complaints in Residence this year, including possession of knives, guns and replicas.
2. There has been a decrease in the number of resident evictions, however an increase in the number of visiting restriction letters due to an increased number of incidents involving guests and non-residence students.
3. There has been an increase in awareness and in disclosures of intimate partner/sexual violence cases due to policy and procedure changes on campus.

For the 2017/2018 academic year:	
Behavioural Expectations/ Warning letter	33
Damage/Cleaning Charge	14
Eviction	5
Visiting Restriction	12

**Residence Notes:**

1. The data management system currently in use in Residence Services restricts the ability to differentiate between the Community Standards and the Breach of Residence Agreement processes. In addition, there is limited capacity to search the data by certain criteria, making it difficult to present meaningful data. The search is underway for new data management software.
2. There were 1625 students involved in 1134 unique incidents in the time period of this report. Those incidents included misconduct, first aid, mental health (students of concern), maintenance and operations.

# Augustana Community Standards

[Policy Link](#)

**Focus:** Student Non-academic misconduct in residence at Augustana Campus

**Administered by:** Augustana Residence Life

**Time period of report:** July 1, 2017 - June 30, 2018

## **Preamble:**

"The purpose of the Residence Community Standards (Community Standards) is to supplement the Code [of Student Behaviour] and Guidelines with specific reference to the rights and responsibilities to be shared by all residents in order to maintain a high standard of cooperative living, tolerance and compromise."

## **Potential outcomes:**

Fine, suspension of computer account, disconnection of network services, restitution, emergency suspension from residence, exclusion, disciplinary probation, or eviction

## **Notes:**

1. There were a total of 24 unique incidents in Augustana Residence in the reporting period, involving 49 students.
2. All 14 of the disciplinary fines were waived in favour of alternative resolutions, including 11 notations on file, 2 educational alternatives and 1 restorative outcome.
3. "Augustana's Community standards are in transition over the next three years to a new format applicable to all University of Alberta Residences. During this period, Restorative Practices will begin to be used primarily for Community Resolutions and some Restorative Meetings. Resident Rights and Responsibilities will become the main focus for conversations around student behaviour and the current administrative structure will be used when Restorative Practices are not appropriate. Over time, Augustana's Community standards will become the framework for a new set of house rules and procedures under the Residence Agreement."<sup>2</sup>

For the 2017/2018 academic year:		
Fine (waived) 14 total	File notation	11
	Educational alternative	2
	Restorative outcome	1
Suspension of computer account		0
Disconnection of network services		0
Restitution		1
Emergency suspension from residence		1
Exclusion		0
Disciplinary probation		0
Eviction		0
Student moved to another residence		1
Voluntary conditions		2

<sup>2</sup> Augustana Residence Community Standards, 2018.



# Code of Student Behaviour

**Focus:** Student non-academic discipline

**Administered by:** Student Conduct & Accountability (SCA)

**Time period of report:** July 1, 2017 - June 30, 2018

**Preamble:**

The *Code of Student Behaviour* addresses misconduct as defined under the *Code*. It applies to all Students (also as defined under the *Code*). In order for a Student to be sanctioned under the *Code*, a number of conditions must be met:

1. The University must have jurisdiction to act (i.e. there is a “real and substantial link” between the misconduct and “the University, University Activities, the University Community, or University-related Functions.”)
2. It must be established, on a balance of probabilities, that the Student under allegation committed the misconduct at issue; and
3. The misconduct must meet the definition of one or more offence under the *Code*.

The offences are broadly defined to encompass a variety of behaviours. Because the differences can be significant, the Code also defines available sanctions, ranging from a written Reprimand through Expulsion. The Discipline Officers, located in SCA, are responsible to ensure that the severity of the sanction(s) is proportionate and commensurate with the seriousness of the misconduct, taking into account any aggravating or mitigating factors in each case.

Behaviours that lead to Code of Student Behaviour charges can also lead to Breach of Residence Agreement and/or Protocol for Urgent Cases of Disruptive, Threatening, or Violent Conduct.

The numbers below refer to non-academic<sup>3</sup> misconduct only. Complaints are investigated by UAPS and referred to SCA with recommendations for charges and sanctions. Any one case can involve multiple charges and/or multiple sanctions.

**Potential outcomes:**

Sanctions for non-academic misconduct, including Conduct Probation, Exclusion (partial or total, time-limited or indefinite), Expulsion, Fine, Reprimand, Restitution, Suspension for up to three years, and Suspension of specified University Services and Resources (essential or non-essential, time-limited or indefinite).

**Total non-academic cases in 2017/18:**

13 (down 52% from 2016/17)

Non-academic Charges <sup>4</sup> considered:		
Disruption		1
Dissemination of Malicious Material		1
Violations of Safety or Dignity 20 total	Physical/sexual contact	3
	Physical abuse/threats	2
	Creating a condition	7
	Harassment/Sexual harassment	7
	Verbal/written threats	1
Damage to Property		2
Unauthorized use		3
Alcohol		1

Sanctions:	
Expulsion	1
Suspension	3
Conduct Probation	8
Exclusion	3
Restitution	1
Fine	1
Reprimand	1

<sup>3</sup> Note that the Discipline Officers also make decisions in cases of academic misconduct when a Dean (or designate) recommends a Severe Sanction. Please see the report from the Appeals and Compliance Officer for information on academic misconduct.

<sup>4</sup> See the Code of Student Behaviour for complete definitions of Offences.

### **Notable trends:**

1. Students sanctioned for non-academic misconduct under the Code were overwhelmingly male (12 in 2017/18 and 26 in 2016/17). This is in contrast with academic misconduct, in which 63% of those referred to SCA were female.
2. Six of the 13 cases would be classified as Sexual Violence<sup>2</sup> under the new policy.
3. Five of the students referred to SCA for non-academic misconduct self-reported mental health issues.
4. Only 2 students referred to SCA were international students as compared to 50% of the students recommended for Severe Sanctions for academic misconduct.
5. Only one student had a prior non-academic misconduct finding under the Code. By comparison, 88% of students sanctioned for academic misconduct were recommended to SCA because they had prior academic offences.
6. Three of the non-academic cases were related to alcohol, either with alcohol use or possession comprising the offence or the offence occurring while the student was intoxicated (self-reported).

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<sup>2</sup> Note that the Sexual Violence Policy was approved by GFC on 23 June 2017, and the definitions in it only apply to cases in which the alleged sexual violence took place after that date. Any allegations from before that date are reflected in charges under Violations of Safety or Dignity. The number here indicates the number of cases which would meet the definitions set out in the Sexual Violence Policy regardless of when the alleged misconduct took place.

# Protocol for Urgent Cases of Disruptive, Threatening, or Violent Conduct (Protocol 91)

[Policy Link](#)

**Focus:** Safety of the University Community  
**Administered by:** Office of the Dean of Students

## **Preamble:**

The primary purpose of Protocol 91 is to protect and ensure the safety of the University community. It provides a means by which the University response to serious incidents and imminent threats can be coordinated in a timely manner. While it applies to all members of the University Community, a team led by the Vice-Provost and Dean of Students addresses cases in which the Protocol 91 is invoked for students.

It is based on consideration of safety of individuals and/or the community rather than being a disciplinary process that results in findings or sanctions. UAPS performs threat or risk assessments which form the basis for action. It is important to note that when a Protocol stems from misconduct, the case is generally followed up with charges under the Code as well in order to provide the necessary procedural fairness.

## **Potential outcomes:**

Highly personalized responses, including restrictions from being on University property (full or specified), other conditions as necessary to address safety concerns.

## **Notes:**

1. Responses to imminent threats, disruptions or violence must be timely, preferably coming within a day or two of the University becoming aware of an incident. Each response is tailored to ensure that it is appropriate and proportionate to the incident at hand.
2. Of the 7 Protocols this academic year, all involved either threats or harm to others, including weapons, bomb threats, physical or sexual assault, harassment/stalking and other threatening behaviour (to persons or buildings).
3. All 7 of the Protocols began with restrictions from campus. However, as a situation evolves, the conditions are reconsidered. Of the 7 students, three have been allowed to return, with conditions.

### For the 2017/2018 academic year:

Total number of Protocol 91	7
Restrictions from campus	7
Other conditions	3

# Sexual Violence Policy

[Policy Link](#)

**Focus:** Support for survivors of sexual violence

**Administered (for students) by:** Office of the Dean of Students

**Time period of report:** July 1, 2017 - June 30, 2018

The *Sexual Violence Policy* was approved by GFC on June 23, 2017. It complements the existing disciplinary processes (the *Code* for students) by committing to support those who have experienced sexual violence. It distinguishes between a Disclosure (that is, disclosing an incident of sexual violence) and a Complaint (a disclosure for the purpose of initiating an investigation for charges/sanctions under University policy or collective agreements). It recognizes that making a Complaint is one of many options for those who have experienced sexual violence, and provides a range of other options, supports and resources.

Should a Complaint be made, it is routed through the relevant disciplinary process/policy. Under the *Sexual Violence Policy*, the Office of the Dean of Students can support those who have experienced sexual violence by offering Modifications (for the survivor) or Interim Measures (non-disciplinary measures for the person under allegation). In addition, the Office of the Dean of Students provides support to the student named as having committed sexual violence, and works with them to identify potential voluntary measures they may be willing to undertake.

## **Potential outcomes:**

Modifications for survivor, voluntary or interim measures for person named as having committed the sexual violence,

It should be noted that modifications for survivors of sexual violence can be provided by an University unit (e.g. Residence Services, Faculties, individual professors, etc.). This report refers only to those modifications provided by the Office of the Dean of Students.

## For the 2017/2018 academic year:

Modifications <sup>?</sup>	4
Safehouse usage	9
Interim Measures <sup>?</sup>	10
Disclosures <sup>?</sup>	12
Voluntary Measures <sup>?</sup>	4

## **Notes:**

1. The Sexual Violence Policy explicitly states that students can receive support and resources without making a Complaint under one of the University's disciplinary processes.
2. The numbers above reflect Disclosures to the Office of the Dean of Students only and are not representative of the incidents of sexual violence. Disclosures where no additional support was sought are also not included.

<sup>?</sup> Examples include: assistance with deferring exams or assignments, assistance changing classes or residence rooms.

<sup>?</sup> Examples include: non-contact orders, or instructions on where or when to move through certain areas of campus.

<sup>?</sup> It is interesting to note that this number includes students who disclosed to us that they had been perpetrators of sexual violence as well as those who had experienced sexual violence.

<sup>?</sup> Examples include: agreement not to contact the person who disclosed, or agreement to avoid certain areas.

# Student Groups Procedure

[Policy Link](#)

**Focus:** Relationship between Student Groups and the University

**Administered by:** Office of the Dean of Students

**Time period of report:** July 1, 2017 - June 30, 2018

Student Groups that are recognized by the Dean of Students enjoy a number of benefits, including the ability to book space, use of the institutional liquor license and permission for gaming events, use of the University's name and insignia, exclusive use of the Group's name on campus, ability to rent University space and equipment, and ability to solicit membership on campus. This is not a disciplinary procedure; student groups not recognized by the Dean of Students are free to exist and associate, however, they do not have access to the same benefits.

In exchange for these benefits, a Student Group is expected to live up to the responsibilities outlined in the Procedure. In terms of the conduct of the Group, the Dean of Students has the authority to deny, revoke, or temporarily suspend a Student Group's recognition when:

- Their stated objectives or activities or the manner of carrying out its activities expose the University to unacceptable risk, or warrant justifiable complaints under University policy or municipal, provincial, or federal law;
- The group engages in hazing, unacceptable risk to persons, property or reputation; or
- The group tolerates, allows or encourages members or its executive to violate the Code when acting on behalf of or representing the Student Group.

***For the 2017/2018 academic year:***

One Student Group had its recognition temporarily suspended due to their conduct.

# Appendix A - 3 Year Trends

## Residence Community Standards

	2017/18	2016/17	2015/16
Community Resolution	441	454	366
Apology Letter	1	14	71
Behavioural Agreement	82	46	104
Restitution	3	3	15

## Breach of Residence Agreement

	2017/18	2016/17	2015/16
Behavioural Expectations/Warning Letter	33	49	66
Damage/Cleaning Charge	14	11	18
Eviction	5	7	13
Visiting Restriction	12	3	12

## Code of Student Behaviour

Charge	2017/18	2016/17	2015/16
Disruption	1	4	2
Dissemination of Malicious Material	1	1	2
Violations of Safety or Dignity	Physical/sexual contact	3	8
	Physical abuse/threats	2	10
	Creating a condition	7	18
	Harassment/sexual harassment	7	20
	Verbal/written threats	1	3
	totals	20	59
Retaliation	0	0	1
Damage to Property	2	4	4
Unauthorized use	3	3	2
Alcohol	1	0	1
Participation in an Offence	0	1	13
Bribery	0	0	1
Breach of Rules External	0	0	2

Sanction	2017/18	2016/17	2015/16
Expulsion	1	1	2
Suspension	3	0	7
Conduct Probation	8	17	27
Exclusion	3	3	8
Restitution	1	1	1
Fine	1	0	3
Suspension of Services	0	2	0
Reprimand	1	0	0
No sanction	0	1	0
All charges dismissed	0	4	3

## Protocol 91

	2017/18	2016/17	2015/16
Restrictions from campus - full or partial	7	9	13
Other conditions as needed to address safety concerns	3	6	11

## Student Groups Procedure

	2017/18	2016/17	2015/16
Temporary suspension of recognition	1	0	0
Revocation of recognition	0	0	0

Item No. 17C

**Governance Executive Summary**  
**Advice, Discussion, Information Item**

<b>Agenda Title</b>	<b>Annual Report of Appeals and Compliance Officer (2017 – 2018)</b>
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**Item**

Proposed by	Michael Peterson, Appeals and Compliance Officer, University Governance
Presenter	Michael Peterson, Appeals and Compliance Officer, University Governance

**Details**

Responsibility	Provost and Vice-President (Academic)
The Purpose of the Proposal is (please be specific)	To provide committee members with an annual report of statistical information on discipline cases, as required by GFC policy.
Executive Summary (outline the specific item – and remember your audience)	<p>The Annual Report provides information about discipline decisions and the appeal processes under the <i>Code of Student Behaviour</i>, <i>Code of Applicant Behaviour</i>, <i>Academic Appeals Policy</i>, and <i>Practicum Intervention Policy</i>. This information is provided to GFC (through SCPC/Executive/GFC) and the Board of Governors (through BLDC) as discipline decisions and appeal decisions fall under the authority of the GFC and the Board, and have been delegated by those governing bodies to the appropriate decision makers (Deans, Discipline Officers, UAB and GFC AAC) within the university. The information provided informs the GFC and the Board, in their oversight role, as to how their delegated authority has been carried out.</p> <p>The 2017-2018 statistics show a decrease in the number of appeals compared to the previous year. This corresponded with an overall decrease in the number of discipline decisions made across the university, with the majority of these decisions concerning the academic offences of plagiarism and cheating. The statistics also include appeal outcomes, but caution should be used before extrapolating any trends. The sample size is very small and each case was decided on its own unique merits, so that the statistics provide a snapshot of outcomes for these particular cases heard and decided.</p>
Supplementary Notes and context	<This section is for use by University Governance only to outline governance process.>

**Engagement and Routing** (Include proposed plan)

Consultation and Stakeholder Participation	<ul style="list-style-type: none"> <li>• GFC Student Conduct Policy Committee, October 25, 2018 (for discussion);</li> <li>• GFC Executive Committee, November 19, 2018 (for discussion);</li> <li>• General Faculties Council, November 26, 2018 (for information);</li> <li>• Board Learning and Discovery Committee, November 30, 2018 (for discussion)</li> </ul>
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**Strategic Alignment**

Alignment with <i>For the Public Good</i>	<p>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</p>
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Item No. 17C

	<p>strategic goals.</p> <p>Strategy i: Encourage transparency and improve communication across the university through clear consultation and decision-making processes, substantive and timely communication of information, and access to shared, reliable institutional data.</p> <p>Strategy ii: Ensure that individual and institutional annual review processes align with and support key institutional strategic goals.</p>			
<p>Alignment with Institutional Risk Indicator</p>	<p>Please note below the specific institutional risk(s) this proposal is addressing.</p> <table border="1" data-bbox="565 600 1524 806"> <tr> <td data-bbox="565 600 1073 806"> <input type="checkbox"/> Enrolment Management  <input type="checkbox"/> Faculty and Staff  <input type="checkbox"/> Funding and Resource Management  <input type="checkbox"/> IT Services, Software and Hardware  <input type="checkbox"/> Leadership and Change  <input type="checkbox"/> Physical Infrastructure                 </td> <td data-bbox="1073 600 1524 806"> <input type="checkbox"/> Relationship with Stakeholders  <input checked="" type="checkbox"/> Reputation  <input type="checkbox"/> Research Enterprise  <input type="checkbox"/> Safety  <input checked="" type="checkbox"/> Student Success                 </td> </tr> </table>		<input type="checkbox"/> Enrolment Management <input type="checkbox"/> Faculty and Staff <input type="checkbox"/> Funding and Resource Management <input type="checkbox"/> IT Services, Software and Hardware <input type="checkbox"/> Leadership and Change <input type="checkbox"/> Physical Infrastructure	<input type="checkbox"/> Relationship with Stakeholders <input checked="" type="checkbox"/> Reputation <input type="checkbox"/> Research Enterprise <input type="checkbox"/> Safety <input checked="" type="checkbox"/> Student Success
<input type="checkbox"/> Enrolment Management <input type="checkbox"/> Faculty and Staff <input type="checkbox"/> Funding and Resource Management <input type="checkbox"/> IT Services, Software and Hardware <input type="checkbox"/> Leadership and Change <input type="checkbox"/> Physical Infrastructure	<input type="checkbox"/> Relationship with Stakeholders <input checked="" type="checkbox"/> Reputation <input type="checkbox"/> Research Enterprise <input type="checkbox"/> Safety <input checked="" type="checkbox"/> Student Success			
<p>Legislative Compliance and jurisdiction</p>	<p><i>Post Secondary Learning Act (PSLA)</i>                      GFC SCPC Terms of Reference                      GFC Executive Terms of Reference                      GFC Terms of Reference                      Board Learning and Discovery Committee (BLDC) Terms of Reference</p>			

Attachments

1. Annual Report of the Appeals and Compliance Officer (2017 – 2018) (pages 1 - 4)
2. Index of Attachments (pages 1 - 10)

*Prepared by:* Michael Peterson, University Governance

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**ANNUAL REPORT OF APPEALS AND COMPLIANCE OFFICER****(INCLUDING UNIVERSITY DISCIPLINE STATISTICS)****2017 – 2018**

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**Scope**

This report covers the period of July 1, 2017 to June 30, 2018. Some statistics for previous years are also included for comparison.

This report provides information about discipline decisions and the appeal process under the Code of Student Behaviour (COSB) and the Code of Applicant Behaviour (COAB), with a focus on the university appeal level of the University Appeal Board (UAB). This report also provides information for the two other university level appeal bodies, the General Faculties Council Academic Appeals Committee (GFC AAC) and the General Faculties Council Practice Review Board (GFC PRB).

**Role of the Appeals Coordinator**

Working as the Appeals and Compliance Officer in University Governance, I carry out the role of the Appeals Coordinator under the COSB, COAB, University of Alberta Academic Appeals Policy and University of Alberta Practicum Intervention Policy for the UAB, GFC AAC and GFC PRB. In this role I am neutral and do not advocate for either party in an appeal. I facilitate or administer the appeal process steps from the time an appeal is received, through the hearing and decision made by an appeal panel, to distribution of the written decision. I also provide procedural information to the parties to an appeal and to the appeal panel throughout the appeal process.

Apart from individual appeals, I oversee the administration of the university level appeal system to ensure that the university continues to implement a fair process by which to address appeals. This includes helping to educate panel members as to the framework within which they work when hearing appeals and helping the university community understand that framework.

**University Level Appeal Process**

The university level appeal system is made up of three appeal bodies – the UAB, the GFC AAC and the GFC PRB.

Discipline decisions arise as a result of a student being charged with an offence (academic and/or non-academic) under the COSB or COAB. When the appropriate decision-maker has made a final decision finding an offence and imposing a sanction, the parties to that decision have a final appeal to the UAB.

The UAB generally hears appeals from students charged under the COSB or COAB who disagree with the discipline decisions. UAB decisions are final and binding, within the university, subject to application for judicial review.

Under the COSB the UAB has the broad authority to determine whether an offence was committed and to confirm, vary or quash sanctions imposed.

Under the Academic Appeals Policy, academic standing issues are heard by the GFC AAC. The GFC AAC hears appeals from students wishing to appeal faculty decisions on matters of academic standing, including matters such as a requirement to withdraw, denial of graduation or promotion. The GFC AAC hears appeals from students after they have exhausted all other avenues of appeal within a faculty. GFC AAC decisions are final and binding, within the university, subject to application for judicial review. The authority of the GFC AAC is to uphold (and award any remedy not contrary to faculty rules) or deny an appeal depending upon whether it finds a miscarriage of justice, as defined by the Academic Appeals Policy, occurred within the faculty process.

Under the Practicum Intervention Policy, appeals concerning practicum interventions are heard by the GFC PRB. The GFC PRB's decisions are final and binding, within the university, subject to application for judicial review.

### Principles of the Appeal Process

Appeals at the university level deal with complex issues affecting students, faculties and the university as a whole. Given this impact, and the fact that this final level of appeal is the last opportunity for issues to be heard within the university, it is very important that the appeal process is fair and perceived to be fair. Coming to decisions through a fair process promotes confidence in those decisions by the parties and the appeal panels themselves. Being the final level of appeal, the decisions or process may also be subject to judicial scrutiny.

The authority of the appeal bodies (UAB/GFC AAC/GFC PRB) flows from the powers delegated under the *Post-Secondary Learning Act*. The appeal bodies carry out their authority as outlined in the applicable university appeal policy, in keeping with the principles of administrative fairness. The principles of administrative fairness are the basis for our appeals policies, help us to interpret those policies and provide the framework within which our appeal panels make decisions.

The structured steps of our appeals processes recognize the impact and finality of these decisions and ensure the opportunity for parties to an appeal to make their best cases and be fully heard. The appeals process has been designed to enable students and university decision-makers to be heard through presenting their arguments and evidence to an objective panel coming from the university community. At its core, our appeals system involves the parties fully making their cases in writing and knowing the case of the other side before an appeal hearing takes place, then appearing at a hearing where they are able to present their information, subject to questioning, before an objective appeal panel. (The UAB process also allows for the option of a paper-only or documentary review hearing, rather than an in-person hearing, when only the severity of sanction, and not the offence, is being appealed.) The appeal panel then considers and weighs all of the evidence and comes to a decision, which it fully explains to the parties in writing. If any process issues or requests arise before or during a hearing, the appeal panel chair (sometimes with the full appeal panel) decides how to fairly address the issues, keeping in mind the relevant appeals policy and the principles of administrative fairness, including the goal to provide for a full and fair hearing.

### Appeal Panel Membership

The university level appeal panels are made up of volunteer panel members from the university community. While the exact makeup of a panel depends on the applicable appeal policy, generally the panels are a combination of undergraduate/graduate students and academic staff selected from the university's appeal panel membership lists. (Membership is determined by an application process and ultimately by approval of applicants by GFC.) Appeal panel members come from the greatest possible variety of faculties and the broadest possible representation of the university community. For objectivity, no appeal panel member may sit on an appeal involving a party from their faculty. Appeal hearings are scheduled throughout the academic year, including summer, mostly in evenings around academic schedules. Student panel members usually serve for terms of two years, while academic staff panel members usually serve for terms of three years (with the possibility of serving additional terms). The number of appeals heard by individual panel members depends on the number of appeals received and the faculties involved.

In addition to their understanding of the university environment from their experience as students (both undergraduate and graduate) and academic staff, our panel members are provided ongoing training in understanding the principles of administrative fairness within which their tribunals operate. This helps to ensure that, as discussed above, the appeal process is a fair one.

The service of appeal panel members is a significant commitment, including considering and addressing procedural issues arising before and during hearings, conducting hearings, deliberating and drafting written reasons for decisions. All of our panel members recognize the need to objectively hear cases, analyze and weigh evidence, then come to reasonable decisions based on that evidence. Part of my role is to ensure that appeal panels have all the needed resources to perform their role. I thank all of our appeal panel members for their commitment and service to our university community. Their work is a very important contribution to fostering and maintaining the values of the university, for all members of our community.

### Appeal / Discipline Decision Statistics

In conjunction with administering appeals, my office collects and maintains the statistics from every discipline decision made at the university under the COSB and COAB.

Looking at the attached statistics, this year saw a decrease in the number of appeals compared to the previous year. Compared to the previous year, 2017-2018 also saw a decrease in the overall number of discipline decisions made across the university by Deans and Discipline Officers (325 this year versus 381 the previous year and 429 the year previous to that), with the majority of those decisions concerning the academic offences of plagiarism and cheating. Although not statistically tracked, a significant number of appeals are received from international students.

While the provided statistics include general outcomes of the appeals heard, caution should be used before considering any trends from these outcomes. The sample size is very small and each case was decided on its own unique merits, with the resulting statistics providing simply a snapshot of the outcomes for those particular cases heard and decided.



Attachments: Statistics for University Level Appeal Processes and University-wide Discipline Decisions

**[Statistics based upon year of appeal deadline.]**

A handwritten signature in blue ink that reads "Michael Peterson".

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Michael Peterson

Appeals and Compliance Officer

University Governance, University of Alberta

October 16, 2018

**INDEX OF ATTACHMENTS**

**Number of Appeals Received** **Attachment 2.1**  
*Figure 1.....Page 2*

**Disposition of Appeals** **Attachment 2.2**  
*Figure 2 UAB.....Page 3*  
*Figure 3 GFC AAC.....Page 4*  
*Figure 4 GFC PRB.....Page 4*

**Category of Sanction by Decision Maker Under COSB** **Attachment 2.3**  
*Figure 5.....Page 5*

**COSB and COAB Discipline Decisions** **Attachment 2.4**  
*Figure 6 COSB.....Page 6*  
*Figure 7 COAB.....Page 6*

**Cases Reviewed Under COSB and COAB** **Attachment 2.5**  
*Figure 8 COSB.....Page 7*  
*Figure 9 COAB.....Page 7*

**Charge Count by Category of Sanction and Decision Maker Under COSB** **Attachment 2.6**  
*Figure 10.....Page 8*

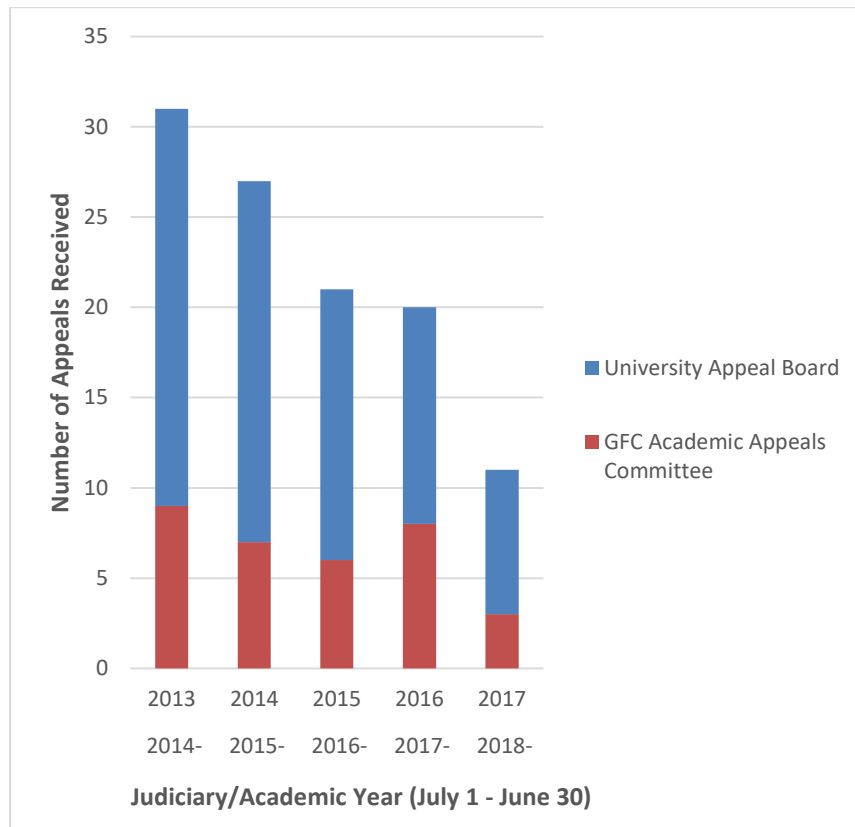
**Case Count by Category of Sanction and Decision Maker Under COSB** **Attachment 2.7**  
*Figure 11.....Page 9*

**Charge and Case Count by Category of Sanction and Decision Maker Under COAB** **Attachment 2.8**  
*Figure 12 Charge Count.....Page 10*  
*Figure 13 Case Count.....Page 10*

Figure 1

**Number of Appeals Received by University Governance**

Judiciary/Academic Year (July 1 - June 30)	2013-2014	2014-2015	2015-2016	2016-2017	2017-2018
University Appeal Board	22	20	15	12	8
GFC Academic Appeals Committee	9	7	6	8	3
GFC Practice Review Board	0	0	0	0	0
<b>TOTAL NUMBER OF APPEALS</b>	<b>31</b>	<b>27</b>	<b>21</b>	<b>20</b>	<b>11</b>



Notes:

- These numbers reflect the number of appeal cases.
- An appeal case can include more than one offence and a student can appeal the offence(s), severity of sanction(s), or both the offence(s) and severity of sanction(s).

Figure 2

**UAB Disposition of Appeals  
July 1, 2017 to June 30, 2018**

Appeal Upheld	2
Appeal Denied	3
Appeal in Progress (Undetermined)	1
Appeal Withdrawn	2
<b>Total Appeal Cases</b>	<b>8</b>

Sanction Increased	0
Sanction Decreased	1
Sanction Timing Varied	0

- As students can be charged with and appeal more than one offence, and because appeals may concern the offence(s), severity of sanction(s), or both, the total number of appeal cases and how sanctions were addressed will not necessarily match.
- If sanctions were not increased/decreased/timing varied, the sanctions were confirmed and stayed the same; if the offence appeal was upheld, there were no sanctions.
- The Governance discipline database does not track the disposition of appeals by issue i.e. it cannot track disposition by the multiple issues of offence(s) and/or severity of sanction(s). If an appeal is upheld on any one issue, it is categorized as "Appeal Upheld". To provide the most accurate picture, I have calculated the disposition of appeals by issue as follows:

Issues of Appeal	Appeal Upheld	Appeal Denied
Offence(s)	1	1
Severity of Sanction(s)	2	3



Figure 3

**GFC AAC Disposition of Appeals  
July 1, 2017 to June 30, 2018**

Appeal Upheld	0
Appeal Denied	2
Returned to Faculty	0
Taken Back by Faculty	1
Appeal Withdrawn	0
Appeal in Progress	0
Total Appeals	3

- “Returned to Faculty” means the GFC AAC decided at the appeal hearing to return the matter to the Faculty Academic Appeals Committee for re-hearing, based upon new evidence being introduced at the appeal hearing.
- “Taken Back by Faculty” means the student provided new information as part of the appeal and, before the GFC AAC hearing, the Faculty chose to reconsider the matter at the Faculty level.

Figure 4

**GFC PRB Disposition of Appeals  
July 1, 2017 to June 30, 2018**

Appeal Upheld	0
Appeal Denied	0
Total Appeals	0

Figure 5

**Category of Sanction by Decision Maker Under COSB  
July 1, 2017 to June 30, 2018**

<b>Sanction Type Description</b>	<b>Count</b>	<b>Final Decision By</b>
Exclusion	2	Discipline Officer
Less Than Suspension or Expulsion	305	Dean
Less Than Suspension or Expulsion	9	Discipline Officer
Less Than Suspension or Expulsion	4	UAB
No Sanction Imposed by Dean	1	Dean
Suspension or Expulsion	8	Discipline Officer

Figure 6

**COSB Discipline Decisions  
July 1, 2017 to June 30, 2018**

Charge/Offence Description	1	2	3	4	5	GS N/A	N/A	N/A Applicant
Cheating	33	20	11	19			7	
Misrepresentation of Facts	5	2	5	1			1	
Participation in an Offence	8	3	3	1				
Plagiarism	83	44	33	25	1	17	14	
Inappropriate Behaviour in Professional Programs			1					
Alcohol Provision and Consumption							1	
Damage to Property		2						
Disruption			1	1			1	
Dissemination of Malicious Material			2					
Retaliation			1					
Unauthorized Use of Facilities, Equipment, Materials, Services or Resources	2			1				
Violations of Safety or Dignity	4	1	1	2			1	

- Columns 1 through 5 refer to year of program of student when offence occurred.
- GS N/A refers to graduate student not applicable (i.e. no program year).
- N/A students are students in Open Studies, Faculty of Extension, Visiting Students, Previous Students and Special Students.
- N/A applicant refers to students reapplying who have been charged with offence re application; do not have a year of program.
- A student can be charged with more than one offence, so charges and case numbers will differ.

Figure 7

**COAB Discipline Decisions  
July 1, 2017 to June 30, 2018**

Charge Description	COAB Applicants
Misrepresentation of Facts	6

Figure 8

**Cases Reviewed by Deans, University of Alberta Protective Services,  
Discipline Officers, Registrar, and the UAB Under COSB  
July 1, 2017 – June 30, 2018**

Decision Maker	Forwarded By	Count
Dean	Not Applicable	306
Discipline Officer	Dean	7
	UAPS	12
UAB	Not Applicable	4

- In all cases where a sanction of suspension or expulsion has been recommended by a Dean the case goes to the Discipline Officer for review and adjudication.

Figure 9

**Cases Reviewed Under COAB  
July 1, 2017 – June 30, 2018**

Decision Maker	Forwarded By	Count
Registrar	Not Applicable	5
UAB	Not Applicable	1

Figure 10

**Charge Count by Category of Sanction and Decision Maker Under COSB  
July 1, 2017 – June 30, 2018**

Decision Maker	Exclusion	Less Than Suspension or Expulsion	No Sanction Imposed by Dean	Suspension or Expulsion	UAB dismissed charge
Agricultural, Life and Environmental Sciences		5			
Arts		109		5	1
Augustana		9			
Business		5			
Education		5			
Engineering		20	1	1	
Extension		24			
Graduate Studies and Research		2			
Medicine and Dentistry		2			
Nursing		1			
Kinesiology, Sport, and Recreation		1			
Science		147		2	
UAPS	5	10		2	

Figure 11

**Case Count by Category of Sanction and Decision Maker Under COSB  
July 1, 2017 – June 30, 2018**

Decision Maker	Exclusion	Less Than Suspension or Expulsion	No Sanction Imposed by Dean	Suspension or Expulsion	UAB dismissed charge
Agricultural, Life and Environmental Sciences		5			
Arts		106		5	1
Augustana		9			
Business		5			
Education		3			
Engineering		20	1	1	
Extension		19			
Graduate Studies and Research		2			
Medicine and Dentistry		2			
Nursing		1			
Kinesiology, Sport, and Recreation		1			
Science		136		1	
UAPS	2	9		1	

*Figure 12*

**Charge Count by Category of Sanction and Decision Maker Under COAB  
July 1, 2017 – June 30, 2018**

<b>Decision Maker</b>	<b>COAB - Refuse Application up to 5 years</b>
Registrar's Office	5
UAB	1

*Figure 13*

**Case Count by Category of Sanction and Decision Maker Under COAB  
July 1, 2017 – June 30, 2018**

<b>Decision Maker</b>	<b>COAB - Refuse Application up to 5 years</b>
Registrar's Office	5
UAB	1

**OUTLINE OF ISSUE**  
**Advice, Discussion, Information Item**

Agenda Title: **Annual Report on Undergraduate Student Financial Support and Accompanying Overview**

**Item**

Proposed by	Vice Provost and University Registrar
Presenter	Melissa Padfield, Interim Vice Provost and University Registrar Fiona Halbert, Assistant Registrar – Student Financial Support

**Details**

Responsibility	Office of the Registrar
The Purpose of the item is (please be specific)	To provide the Annual Report on Undergraduate Student Financial Support and Accompanying Overview for information. In the attached report, the RO provides a snap shot of the current state of undergraduate financial supports issued by the Office of the Registrar (RO) in the 2017/2018 fiscal year.
Timeline/Implementation Date	N/A
Supplementary Notes and context	<p>Annual reporting to administrative and governance committees on undergraduate student financial support is part of the Office of the Registrar’s “Financial Five”, a group of foundational building blocks designed to heighten awareness and serve as pre-cursors to institutional strategy development in this area. Components of the Financial Five are as follows: align student financial supports with enrolment priorities; identify stable and targeted funding; improve technological and communications supports; explore the development of institutional policy; and create a cross-functional stakeholder advisory group.</p> <p>The report was discussed by the GFC Undergraduate Awards and Scholarship Committee (UASC) on October 9, 2018. The Committee was particularly interested in trends regarding eligibility and diversity, as well as emergency and need-based funding for domestic and international students. Members discussed the relative amounts of need-based and merit-based funding available for students and the barriers that exist for students in need.</p>

**Engagement and Routing (Include meeting dates)**

<p>Participation: (parties who have seen the proposal and in what capacity)</p> <p>&lt;For further information see the link posted on the <a href="#">Governance Toolkit section Student Participation Protocol</a>&gt;</p>	<p><b><u>Those who have been informed:</u></b> The following stakeholders have seen the report for discussion and feedback:</p> <ul style="list-style-type: none"> <li>• Dr Wendy Rodgers, Deputy Provost: August 30, 2018</li> <li>• Dr Tammy Hopper, Vice Provost Programs: August 30, 2018</li> <li>• Kelly Spencer, Office of Advancement: August 30, 2018</li> <li>• Edith Finczak, Office of the Provost and Vice-President (Academic): August 30, 2018</li> <li>• Andrea Patrick, Policy Initiatives Manager: August 30, 2018</li> <li>• André Costopoulos, Dean of Students: August 30, 2018</li> <li>• Alexis Ksiazkiewicz, Government &amp; Stakeholder Relations: August 30, 2018</li> <li>• Deborah Burshtyn, Interim Dean, Faculty of Graduate Studies and Research: August 30, 2018</li> </ul>
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Item No. 17D

	<ul style="list-style-type: none"> <li>• Amy Dambrowitz, Assistant Dean, Faculty of Graduate Studies and Research: August 30, 2018</li> <li>• Cen Huang, Interim Vice Provost and AVP International: August 30, 2018</li> <li>• Doug Weir, Executive Director, Student Programs &amp; Services, University of Alberta International: August 30, 2018</li> <li>• John Gregory, Director, International Recruitment &amp; Transnational Programs</li> <li>• University of Alberta International: August 30, 2018</li> <li>• Reed Larsen, Students' Union President: August 30, 2018</li> <li>• Sasha van der Klein, Graduate Students' Association President: August 30, 2018</li> <li>•</li> </ul> <p><u><i>Those who have been consulted:</i></u></p> <ul style="list-style-type: none"> <li>• VPC: Sept 17, 2018</li> <li>• PEC-O: Oct 4, 2018</li> <li>• ACEM: Sept 28, 2018</li> <li>• Deans' Council: Oct 3, 2018</li> <li>• GFC UASC (for discussion): Oct 9, 2018</li> <li>• GFC APC (for discussion): Oct 24, 2018</li> <li>• GFC EXEC (for information): November 19, 2018</li> <li>• ACUS: Oct 26, 2018</li> <li>• GFC (for Information): November 26, 2018</li> <li>• BLDC: Nov 30, 2018</li> </ul> <p><u><i>Those who are actively participating:</i></u></p> <ul style="list-style-type: none"> <li>• Lisa Collins, Vice Provost and University Registrar</li> <li>• Melissa Padfield, Deputy Registrar</li> <li>• Fiona Halbert, Assistant Registrar Student Financial Support</li> <li>• Douglas Akhimienmhonan, Assistant Registrar Enrolment Management</li> </ul>
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**Alignment/Compliance**

<p>Alignment with Guiding Documents</p>	<p><b>Institutional Strategic Plan – For the Public Good</b> To begin, we will attract outstanding students...</p> <p><b>1. OBJECTIVE:</b> Build a diverse, inclusive community of exceptional undergraduate and graduate students from Edmonton, Alberta, Canada, and the world.</p> <p>i. <b>Strategy:</b> Develop and implement an undergraduate and graduate recruitment strategy to attract top students from across the diverse communities in Alberta and Canada, leveraging our strengths as a comprehensive research-intensive, multi-campus university with options for francophone and rural liberal arts education.</p> <p>ii. <b>Strategy:</b> Develop and implement an undergraduate and graduate recruitment and retention strategy to attract top Indigenous students.</p> <p>iii. <b>Strategy:</b> Optimize our international recruiting strategies to attract well-qualified international students from regions of strategic importance, and enhance services and programs to ensure their academic success and integration into the activities of the university.</p> <p>iv. <b>Strategy:</b> Ensure that qualified undergraduate and graduate students can attend the university through the provision of robust student financial support.</p>
<p>Compliance with Legislation,</p>	<p><i>Post-Secondary Learning Act</i></p>

Item No. 17D

Policy and/or Procedure Relevant to the Proposal	GFC Undergraduate Awards and Scholarship Committee (UASC) Terms of Reference GFC Academic Planning Committee Terms of Reference GFC Executive Committee Terms of Reference Board Learning and Discovery Committee (BLDC) Terms of Reference
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Attachments:

1. Annual Report on Undergraduate Student Financial Support (page 1-24)
2. Accompanying Overview (page 1-2)

*Prepared by:* Fiona Halbert, Assistant Registrar – Student Financial Support, [fiona.halbert@ualberta.ca](mailto:fiona.halbert@ualberta.ca)

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**ANNUAL REPORT ON UNDERGRADUATE  
STUDENT FINANCIAL SUPPORT 2017/18**

October 23, 2018



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## TABLE OF CONTENTS

<b>MESSAGE FROM THE VICE-PROVOST AND UNIVERSITY REGISTRAR</b>	<b>3</b>
<b>EXECUTIVE SUMMARY</b>	<b>4</b>
<b>1. STUDENT FINANCIAL SUPPORT SPENDING</b>	
1.1 Expense by Funding Source	7
1.2 Expense by Funding Source and Funding Type, Undergraduate	8
1.3 Expense by Year of Program and Type of Support	9
<b>2. DOMESTIC UNDERGRADUATE STUDENT FINANCIAL SUPPORT</b>	
2.1 Overall Domestic Undergraduate Financial Support	12
2.2 Origin at the Time of Application, Domestic Undergraduate	13
2.3 Allocation of Entrance Scholarships, Domestic Undergraduate	15
2.4 Allocation by Program Year, Domestic Undergraduate	16
2.5 Government Student Loans, Domestic Undergraduate	17
<b>3. INDIGENOUS UNDERGRADUATE STUDENT FINANCIAL SUPPORT</b>	
3.1 Indigenous Undergraduate	19
<b>4. INTERNATIONAL UNDERGRADUATE STUDENT FINANCIAL SUPPORT</b>	
4.1 Overall International Undergraduate Financial Support	21
4.2 Origin at the Time of Application, International Undergraduate	22
4.3 Allocation of Entrance Scholarships, International Undergraduate	22
4.4 Allocation by Program Year, International Undergraduate	23
<b>APPENDIX A SUMMARY OF STUDENT FINANCIAL SUPPORT PROGRAMS</b>	<b>25</b>

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## MESSAGE FROM THE VICE-PROVOST AND UNIVERSITY REGISTRAR

Recognizing the importance of student financial support, the University of Alberta continues to prioritize the provision of funding to undergraduate students on the basis of both merit and need. Post-secondary access and affordability for Albertan, Canadian, Indigenous, and international students is critical in ensuring that the university attracts outstanding students from diverse regions and backgrounds, and provides a positive and supportive student experience.

This report provides a focused view of our financial support programs and the students who access them (including comparisons with previous years), and helps us to optimize these programs to ensure access to all types of supports for all groups of students.

Supporting the institutional strategic plan and our *Financial Five*<sup>1</sup> continue to be priorities. In the past year, a working group was established to look at common policies and procedures across the U15 related to financial support. Automation of the admission-based scholarship offer process has eliminated manual administration, resulting in quicker turnaround time and making the program more aligned with existing admission procedures. This change brings us closer to achieving our goal of bundling award and admission offers in the future. The Advisory Committee on Undergraduate Student Financial Support has evaluated the entrance scholarship program, resulting in improvements to the program for the upcoming school year. Finally, a plan is in place to begin participating in the US Department of Education Direct Loans Program so that we can better support our American international students.

Looking ahead to the next few years, a number of priorities have been identified:

- The creation of an institutional policy statement for undergraduate financial support.
- Changes to entrance scholarship programs that will support the *For the Public Good* goals of building a diverse student community.
- Preliminary investigation into in-depth loan reporting.
- Entrance automation that will achieve the Enrolment Management Ten Point Plan goal of bundling scholarship and admission offers.

Overall, 2017/18 has been a positive and productive year for student financial support. RO-administered spending held steady, increasing by 1.5 per cent over the previous year as a result of continued responsible stewardship. In support of the university's institutional strategic plan, *For the Public Good*, and the *Undergraduate National Recruitment Strategy*<sup>2</sup>, these programs provide support to students in need, while offering incentives that attract top students from Alberta, Canada, and around the world. We will continue to assess and improve our programs to ensure student access to financial support is simple and efficient, and benefits students and the university for years to come.

Sincerely,  
Lisa M. Collins  
Vice-Provost and University Registrar

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<sup>1</sup> Please see Appendix A in the [2016/17 Annual Undergraduate Student Financial Support Report](#).

<sup>2</sup> For more information, please contact the Office of the Registrar.

## EXECUTIVE SUMMARY

The Office of the Registrar (RO), through its Student Financial Support (SFS) unit, provides a number of need-based and merit-based financial supports, as well financial education services. The monetary figures in this report are as of March 31, 2018, reflecting the 2017/18 fiscal year.

Table 1: Total Undergraduate Financial Support, 2017/18

Funding Source	Need-based	Merit-based	Total Amount
Donor	\$1,735,455	\$7,526,645	\$9,262,100
Government	\$57,979,773	\$6,376,400	\$64,356,173
University	\$2,906,895	\$9,788,855	\$12,695,750
External Funding <sup>3</sup>	-	-	\$868,301
Total	\$62,622,123	\$23,691,900	\$87,182,324

Source: Office of the Registrar

Note: External funding cannot be parsed into the categories of need-based or merit-based.

\$87M in student financial support was provided to 17,130 undergraduate students. Of the \$87M, the RO administered a total of \$28,334,250<sup>4</sup> in financial supports (this total excludes government need-based and external funding). RO-administered spending held steady in 2017/18, having increased by 1.5 per cent (\$405,017) over the previous year as a result of continued responsible spending.

Table 2: Total RO Administered Financial Support

Funding Source	2015/16 Total	2016/17 Total	2017/18 Total	% Change 2016/17 to 2017/18
Donor	\$8,652,248	\$9,590,104	\$9,262,100	-3.4%
Government	\$7,271,600	\$7,285,700	\$6,376,400	-12.5%
University	\$7,230,696	\$11,053,429	\$12,695,750	14.9%
Total	\$23,154,544	\$27,929,233	\$28,334,250	1.5%

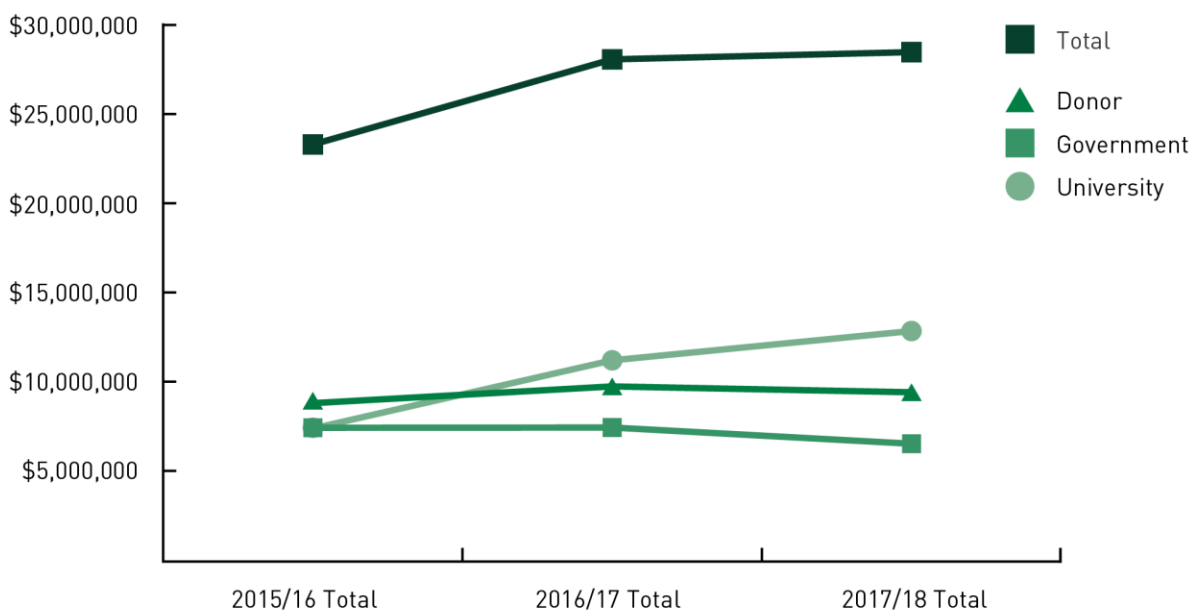
Source: Office of the Registrar

Note: Government loans not included in this table.

<sup>3</sup> External Funding is contributed and selected by external organizations, but processed by the RO.

<sup>4</sup> The University Consolidated Financial Statements reports \$120M in "Scholarships and Bursaries" expenses for fiscal 2018. \$28.8M of this total was recorded as awards and/or bursaries to undergraduate students.

Figure 1: Total RO Administered Financial Support



Source: Office of the Registrar

There were changes to spending from all funding sources in 2017/18 as compared to the previous year. The most significant change was a decrease in government merit-based<sup>5</sup> spending due to a lower number of applicants. Although the number of eligible students did not decrease, the number of applications received did. We will investigate opportunities to ensure that eligible students are aware of and have access to applications for Government of Alberta merit-based funding.

Spending of annual and endowed donor funds between 2016/17 and 2017/18 were similar. It appears that there was a decrease in donor spending, however this is largely due to the aggregate changes in annual donor contributions and refinements in financial accounting practices. Spending from endowed sources increased moderately.

Overall spending on university funded need-based programs decreased by \$0.6M in 2017/18. This decrease in spending was the primary result of less being spent on domestic bursaries, due to the following factors:

- The launch of the new bursary application was delayed until December 2017, resulting in a condensed bursary cycle compared to a typical September opening. Since bursary assessment is based on academic year (while this report looks at fiscal year), increased spending for the 2018/19 fiscal year as a result of deferred bursaries awarded in the 2018 Spring and Summer terms is anticipated.
- Significant changes to the bursary applicant pool were observed, with 16 per cent fewer eligible applicants than the previous year. Eligibility criteria did not change from 2016-17.

<sup>5</sup> Government merit-based is defined as scholarships funded by the Government of Alberta.

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Less (\$1.5M) was spent on government need-based funding as well, though insight into the cause of this decrease is unavailable.

An emerging trend worth noting is the increased spending on entrance scholarships. 2017/18 saw funds distributed to nearly 200 more top academic students (those with 90.0 per cent averages and greater) as compared to 2016/17, for a total increase of \$1.2M awarded. This increased spending can be attributed to an increase in the number of top academic high school applicants that accepted their admission offer and registered. Significant advancements to the alignment of our awards programs and recruitment strategy have been made, with positive results.

#### *Domestic students*

\$81M was issued to 15,899 domestic students, \$58M of which came from government need-based funding. This funding was accessed by nearly 41 per cent (10,997) of all domestic undergraduate students. 87 per cent of domestic funding went to Alberta<sup>6</sup> students, which matches their enrolment proportion of 87 per cent of domestic students.

#### *Indigenous students*

Of the 1,081<sup>7</sup> self-identified undergraduate Indigenous students at the university, 64 per cent (693 students) are currently receiving financial support (not including third-party/First Nations, Metis, or Inuit sponsorship). The distribution of Indigenous financial support as a percentage of total undergraduate financial support remained relatively constant with 2017/18 spending.

#### *International students*

Overall spending on international students increased by 11.3 per cent (\$543,514) in 2017/18. A total of 1,231 international students received scholarship funding. The average amount distributed for international scholarships rose by 17 per cent (from \$3,515 to \$4,113) compared to 2016/17. The increased average amount per student and total amount expended on international student scholarships can be attributed to changes in the admission-based scholarship program targeted to international students admitted with an admission average of 90.0 per cent or greater - a change from the previous requirement of 95.0 per cent or greater.

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<sup>6</sup> Alberta students are defined as those listing an Alberta address in the 'origin address' field in the student information system.

<sup>7</sup> 2017/18 Annual Report on Undergraduate Enrolment.

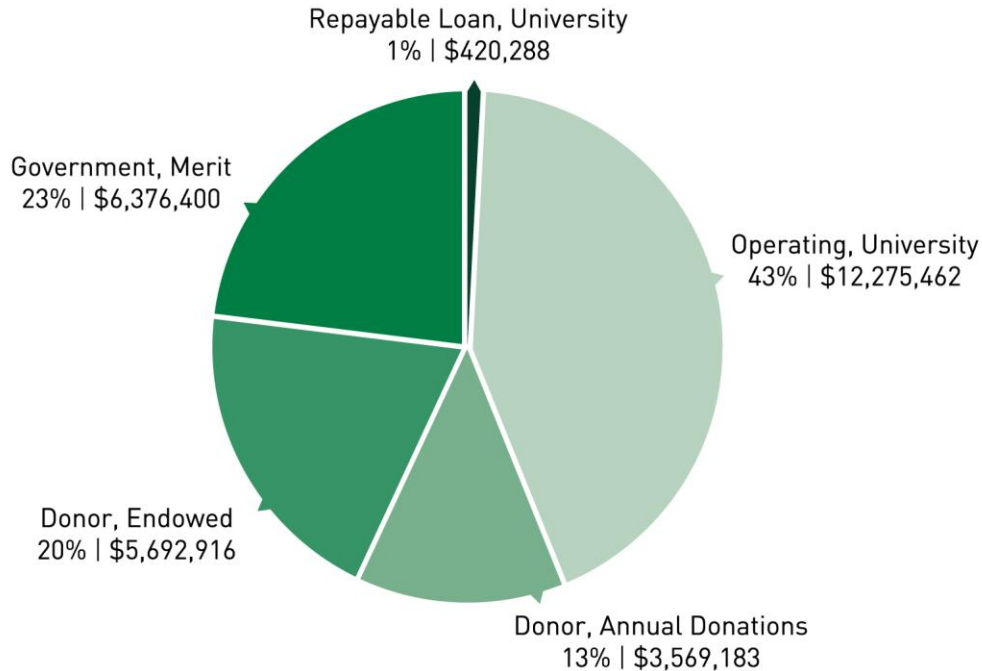


## 1. STUDENT FINANCIAL SUPPORT SPENDING

### 1.1 EXPENSE BY FUNDING SOURCE

In 2017/18, the Office of the Registrar (RO) administered funding to 8,950 undergraduate students<sup>8</sup>, a number that decreased by 6.6 per cent (631 students) from 2016/17. The total amount administered was \$28,334,250, the sources of which fluctuated in the 2017/18 fiscal year. University operating funds (including repayable loan funds) accounted for \$12.7M in total financial support, an increase of 15 per cent (\$1,642,321) from the previous year. Government merit-based funding distributed decreased due to a decrease in the number of applicants to the Jason Lang Scholarship. 2017/18 saw a slight increase in donor, endowed spending which continues to demonstrate commitment to maximizing the spending of endowment earnings.

Figure 2: Expense by Funding Source, Undergraduates, 2017/18



Source: Office of the Registrar

Note: Repayable emergency loans include repayable emergency loans issued by both the RO and University of Alberta International.

Donor, Annual Donations includes The Access Fund Bursary (supported by SU student levy) is included in the total for Donor, Annual Donation.

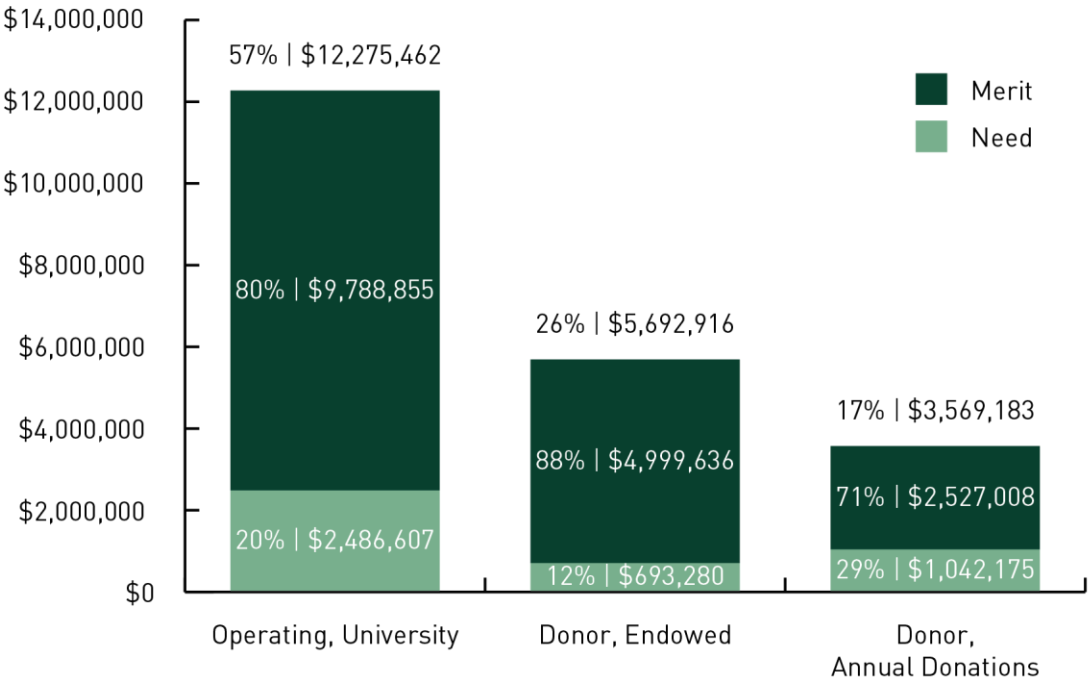
<sup>8</sup> The RO's Student Financial Support unit also provides administrative support for undergraduate summer research awards (NSERC USRA, Roger S Smith and other Med Summer Research). As these are paid summer employment, we have not included them in this report.

The funding sources outlined in Figure 1 were donor (33 per cent), university (45 per cent), and government (23 per cent). In 2016/17, university spending only accounted for 40 per cent, compared to 2017/18, when the university's contribution continued to increase by 5 per cent. In terms of donor funding, the RO administers 1,670 endowments (accounting for approximately 59 per cent of the total number of university endowments) and over 516 annually-funded accounts.

**1.2 EXPENSE BY FUNDING SOURCE AND FUNDING TYPE, UNDERGRADUATE**

The following graph demonstrates how funding is distributed across merit-based and need-based programs, making the distinction between university and donor sources.

Figure 3: Expense by University and Donor Funding, Undergraduate, 2017/18



Source: Office of the Registrar

Note: The Access Fund Bursary (supported by SU student levy) is included in the total for Donor, Annual Donation. The graph does not include Government of Alberta need- or merit-based funding or repayable emergency loans.

University spending between funding types (merit-based and need-based) saw a shift towards increased spending on merit-based programs; in 2017/18, 80 per cent was spent on merit-based (an increase of nine per cent over the previous year) and 20 per cent on need-based programs (a decrease of nine per cent over the previous year). When looking at all funding sources (donor and university) the 80/20 distribution remains constant. This is a change from 2016/17 when 74 per cent of university and donor funding went to merit-based programs. Need-based spending from university operating funds

9 Government of Alberta merit-based funding reflects provincially funded merit-based awards (including the [Jason Lang Scholarship](#), the [Louise McKinney Post-Secondary Scholarship](#), the [Jimmie Condon Athletic Scholarship](#), and the [Indigenous Careers Award](#)), but does not include government student loans. The recipient information for the [Alexander Rutherford Scholarship](#) is not captured by the University of Alberta and therefore is not included in this summary.

decreased by 21 per cent (\$642,093). This decrease can be attributed to the delayed opening of the Supplementary Bursary due to application process changes, as well as a reduction in eligible applications received.

Need-based and merit-based supports often work together to support a single student. 30 per cent of students who received support from need-based programs also received support from merit-based programs, which indicates that merit-based programs contribute to the funding package for students in financial need. However, 46 per cent of students receiving financial supports only received government loan funding in the 2017/18 fiscal year. This 46 per cent is an increase from the 43 per cent observed in the 2016/17 fiscal year, and accounts for 694 more students who received government loan funding only (\$1,155,478). Government loan access and impacts on other undergraduate financial support programs will continue to be tracked and evaluated.

### 1.3 EXPENSE BY YEAR OF PROGRAM AND TYPE OF SUPPORT

As students progress through their studies, funding from merit-based supports tends to decline while need-based supports increase. Compared to 2016/17, university operating spending for students in year one (Y1) increased. This can be attributed to an increase in the number of top entrance students eligible to receive scholarships.

Table 3: Merit-Based Expense by Year of Program and Type of Support, Amount 2017/18

Year of Study <sup>10</sup>	Merit, University Operating	Merit, Donor	Merit, Government	Total	% of Total
Year 1	\$6,372,736	\$2,092,185	\$496,100	\$8,961,021	37.8%
Year 2-5	\$3,392,831	\$5,405,660	\$5,861,900	\$14,660,391	61.9%
Special/ Visiting Students	\$23,289	\$28,000	\$18,400	\$70,489	0.3%
Total	\$9,788,856	\$7,526,645	\$6,376,400	\$23,691,900	100.0%

Source: Office of the Registrar

<sup>10</sup> Year of study refers to the student's year of program during the 2017/18 fiscal year.

Table 4: Need-Based Expense by Year of Program and Type of Support, Amount 2017/18

Year of Study	Need, University Operating	Need, Donor	Repayable Emergency Loan	Government Loan <sup>11</sup>	Total	% of Total
Year 1	\$174,300	\$154,180	\$67,100	\$13,167,564	\$13,563,144	21.7%
Year 2-5	\$2,239,007	\$1,551,775	\$301,502	\$43,445,601	\$47,537,885	75.9%
Special/ Visiting Students	\$73,300	\$29,500	\$51,686	\$1,366,608	\$1,521,094	2.4%
Total	\$2,486,607	\$1,735,455	\$420,288	\$57,979,773	\$62,622,123	100.0%

Source: Office of the Registrar

Note: Repayable emergency loans administered by University of Alberta International are included in the repayable emergency loan totals.

Percentages shown will not add up to 100 per cent due to rounding.

The total spend and number of students accessing the repayable emergency loans program continues to increase, with 91 more students accessing the program since 2015/16. The average loan amount decreased slightly by \$110, however the overall proportion of repayable emergency loans to total Office of the Registrar (RO)-administered financial supports stayed constant. In the fiscal 2017/18 year, \$420,288 repayable emergency loans were issued and \$406,631 was repaid to the emergency loan program (97 per cent).

“Front-loading” funding for first-year students with merit-based funding remains standard practice for the majority of U15 institutions in the recruitment of prospective students. The distribution of merit-based and need-based funding are proportionally close for first-year students, with 40 per cent receiving need-based funding and 60 per cent receiving merit-based funding. The proportion for continuing students differed, however, with 24 per cent accessing merit-based programs and 76 per cent accessing need-based programs.

530 more undergraduate students received government loans in the 2017/18 year, however the overall loan amount remitted to the university decreased by \$1.5M. We will continue to monitor government loan funding trends to better understand how fluctuations in loan access impacts other University of Alberta financial support programs.

<sup>11</sup> Data source used for government loan information reported is based on remitted government loans to student accounts and does not reflect the total loan amounts students receive, e.g., cost of living amount provided directly to students. Loan amounts refunded back to loan providers resulting from student withdrawals is not captured and is anticipated to account for less than 0.5% of total loans issued.

Table 5: Total financial support by Year of Program, Amount 2017/18

Year of Study	Total	% of Total	% of Total Enrolment <sup>12</sup>
Year 1	\$22,524,165	26.1%	25.4%
Year 2-5	\$62,198,275	72.1%	66.1%
Special/ Visiting Students	\$1,591,583	1.8%	8.5%
Total	\$86,314,023	100.0%	100.0%

Source: Office of the Registrar

When looking at the total financial support provided to all undergraduate students, including government loan programs, distribution across years of program tends to equalize across all years of study, with 26 per cent of total funding going to first-year students and 72 per cent going to continuing students. Spending across years of study generally aligns with undergraduate enrolment for degree programs, in which special/visiting students are not included.

<sup>12</sup> 2017/18 Annual Report on Undergraduate Enrolment.

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## 2. DOMESTIC UNDERGRADUATE

### 2.1 OVERALL DOMESTIC UNDERGRADUATE FINANCIAL SUPPORT

Domestic<sup>13</sup> students made up 85 per cent of our undergraduate student population<sup>14</sup> and received 93 per cent of undergraduate financial support in fiscal 2017/18.

Government of Alberta merit-based programs<sup>15</sup> are administered by the university and are earmarked for continuing students. These funds are for Alberta residents<sup>16</sup>, and are tenable at any Alberta post-secondary institution. Government of Alberta merit-based funding (captured as part of scholarships) made up 34 per cent of total domestic undergraduate scholarships. This decreased by six per cent from 2016/17 due to a lower number of applicants.

93 per cent (15,899) of all students receiving financial support in the 2017/18 fiscal year were domestic undergraduate students. Of these, 69 per cent (10,997) accessed government loan funding. This represents 41 per cent of all domestic undergraduate students.

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<sup>13</sup> Domestic status means Canadian Citizen or Permanent Resident.

<sup>14</sup> 2017/18 Annual Report on Undergraduate Enrolment.

<sup>15</sup> Government of Alberta merit-based funding reflects provincially funded merit-based awards (including the [Jason Lang Scholarship](#), the [Louise McKinney Post-Secondary Scholarship](#), the [Jimmie Condon Athletic Scholarship](#), and the [Indigenous Careers Award](#)), but does not include government student loans. The recipient information for the [Alexander Rutherford Scholarship](#) is not captured by the University of Alberta and therefore is not included in this summary.

<sup>16</sup> Definition of Alberta residents as defined by Alberta Student Aid differs from the university's definition of Alberta students (based on Origin Address in the student information system).

Table 6: Allocation of Support among Domestic Undergraduates by Type of Support

	2017/18			2016/17			2015/16		
Funding Source	Number of Students	Total	Average Amount Per Recipient	Number of Students	Total	Average Amount Per Recipient	Number of Students	Total	Average Amount Per Recipient
Scholarship	7,274	\$18,977,864	\$2,609	7,862	\$18,239,230	\$2,320	7,850	\$16,334,928	\$2,081
Bursary	563	\$3,637,087	\$6,460	681	\$4,530,500	\$6,653	595	\$3,226,215	\$6,401
Repayable Emergency Loan	195	\$367,513	\$1,885	180	\$353,432	\$1,964	128	\$212,785	\$1,662
<b>Subtotal</b>	<b>8,032</b>	<b>\$22,982,465</b>	<b>\$2,861</b>	<b>8,723</b>	<b>\$23,123,162</b>	<b>\$2,651</b>	<b>8,573</b>	<b>\$19,773,928</b>	<b>\$2,307</b>
Government Loan	10,997	\$57,979,773	\$5,272	10,466	\$59,482,065	\$5,683	[not available] <sup>17</sup>		
<b>Total</b>	<b>19,029</b>	<b>\$80,962,238</b>	<b>\$4,255</b>	<b>19,190</b>	<b>\$82,605,227</b>	<b>\$4,305</b>	<b>8,573</b>	<b>\$19,773,928</b>	<b>\$2,307</b>

Source: Office of the Registrar

Note: Total recipients includes double counting.

Overall spending on domestic students from Office of the Registrar (RO)-administered funding sources decreased by 0.6 per cent (\$140,697) from 2016/17. While spending on scholarships and repayable emergency loans for domestic students increased by four per cent each, spending on domestic bursaries decreased by 20 per cent (\$893,413). As mentioned previously, decreases in need-based spending is due to a delayed start to the application cycle and the receipt of fewer eligible applications.

## 2.2 ORIGIN AT THE TIME OF APPLICATION, DOMESTIC UNDERGRADUATE

In 2017/18, 87 per cent<sup>18</sup> of all domestic undergraduate students listed an Alberta *Origin Address* in the student information system at the time of application. Alberta students received 87 per cent of financial supports provided to domestic undergraduate students. For the purpose of this report, student origin is based on the *Origin Address* of students stored in the student information system at the time of

<sup>17</sup> Government Loan funding was not available in the 2015/16 Annual Report on Undergraduate Financial Support, which is why it does not appear in this table as a comparison.

<sup>18</sup> 2017/18 Annual Report on Undergraduate Enrolment.

application. Alberta students remain a priority for the university, and financial support programs will continue to be reviewed to ensure that the resources available meet the needs of this vital demographic. The University of Alberta will continue to partner with the Government of Alberta on ensuring access and affordability for Alberta students.

*Table 7: Distribution of Financial Support to Domestic Undergraduate Students by Origin Address at Time of Application, 2017/18*

Origin <sup>19</sup>	Scholarship	Bursary	Repayable Emergency Loan	Government Loan	% of Total Funds	% of Recipients
Edmonton Area (57%)	55.2%	35.3%	49.6%	53.9%	53.4%	56.0%
Alberta excl. Edmonton Area (29%)	30.5%	40.6%	30.3%	33.8%	33.3%	31.8%
Canada excl. Alberta (10%)	11.5%	21.1%	15.9%	7.4%	9.0%	8.1%
Outside Canada (4%)	2.8%	2.9%	4.2%	4.9%	4.3%	4.1%
Total Amount	\$18,977,864	\$3,637,087	\$369,713	\$57,979,773	\$80,964,438	100.0%

Source: Office of the Registrar

Note: "Edmonton and Area" includes Edmonton and surrounding areas (i.e. Sherwood Park, St. Albert, Spruce Grove, Leduc, Fort Saskatchewan, Stony Plain, and Beaumont).

9.7 per cent of domestic undergraduate students enrolled in 2017/18 were from outside of Alberta<sup>20</sup>, and received over \$7.2M in funding. This group of students accessed need-based programs at a higher rate than their overall enrolment proportion, as they received 18 per cent of all need-based funds distributed, a proportion unchanged from the 2016/17 fiscal year. This difference may be the result of increased costs to out-of-province students (e.g. moving away from home), or limitations on out-of-province loan funding (in most cases, out-of-province annual loan maximums are lower than those provided by the provincial loan program in Alberta). While their consumption of need-based funding was out of proportion with enrolment, they received 12 per cent of merit-based funding, a rate closer to their enrolment.

<sup>19</sup> Percentage captured under Origin is the distribution as per the 2017/18 Annual Report on Undergraduate Enrolment.

<sup>20</sup> 2017/18 Annual Report on Undergraduate Enrolment.



Table 8: Allocation of Funds to Out-of-Province Students by Type of Support, 2017/18

Funding Source	Number of Students	Total
Government Loan	822	\$4,266,848
Repayable Emergency Loan	31	\$58,810
Bursary	115	\$769,050
Scholarship	581	\$2,180,971
Total	1549	\$7,275,679

Source: Office of the Registrar

The 2017/18 fiscal year saw an increase in spending on scholarships for out-of-province students. This is the result of the execution of new recruitment scholarships for top out-of-province students as part of the National Recruitment Strategy.

### 2.3 ALLOCATION OF ENTRANCE SCHOLARSHIPS, DOMESTIC UNDERGRADUATE

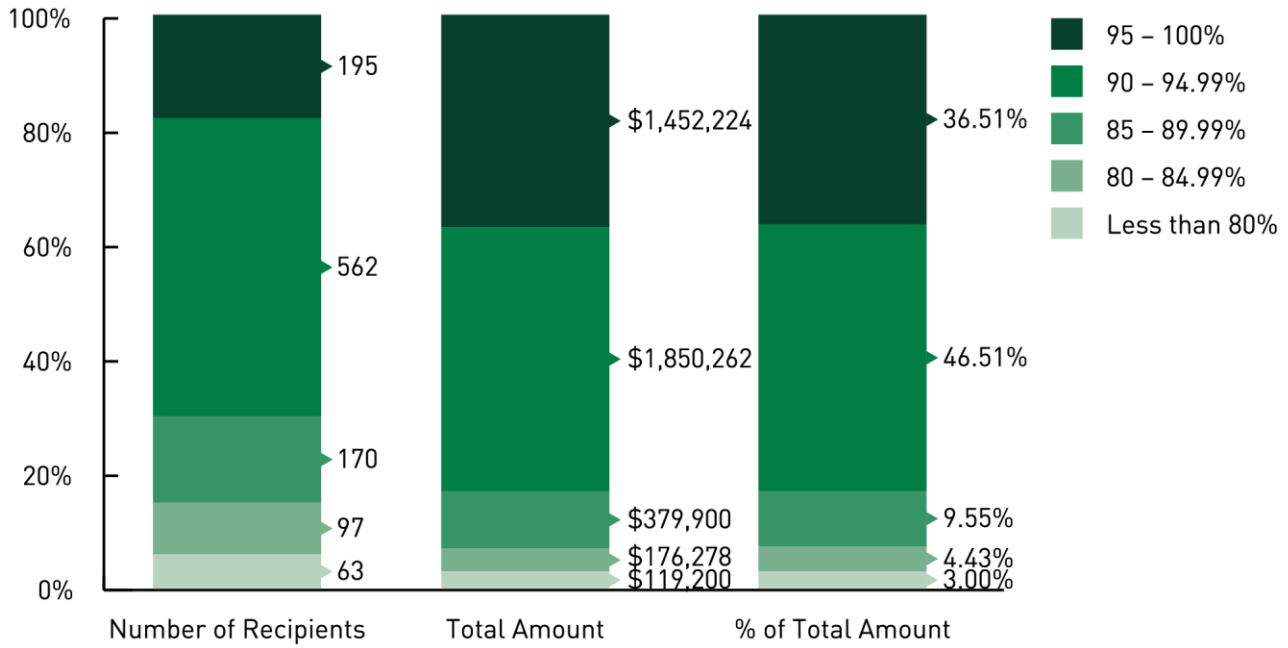
Entrance scholarships are defined as awards given to a university student entering an undergraduate degree program directly from high school. Currently, most domestic entrance scholarships are one-time payments, i.e., non-renewable. The largest domestic entrance scholarship program, Academic Excellence, focuses on students entering the university from high school with an admission average of 90.0 per cent or greater. Academic Excellence scholarships are assessed automatically and do not require a separate application.

A total of \$3.98M<sup>21</sup> was awarded through domestic entrance scholarships (renewable and non-renewable programs). The average amount for domestic students with an admission average of 90.0 to 94.9 per cent was \$3,292 while students with a 95.0 per cent or higher average received, on average, \$7,447. Both average amounts changed slightly from 2016/17 (\$2,987 and \$7,528 respectively), however, the total number of students within those admission averages increased by 129. In 2017/18, 757 students with admission averages over 90.0 per cent received scholarships, an increase from 2016/17 when 628 students with similar admission averages received scholarships.

330 domestic students with averages below 90.0 per cent received entrance scholarships in 2017/18. These 330 students make up 30 per cent of total entrance scholarship recipients, a decrease in proportion from the distribution in 2016/17 (which was 351 students and 36 per cent). Financial support programs will continue to be an important tool to support our student recruitment strategies with increased attention to priority groups of prospective students, including out-of-province students and top academic achievers.

<sup>21</sup> This report does not currently include the [Alexander Rutherford Scholarship](#) provided to entrance students by the Government of Alberta. As a result, the Government of Alberta entrance scholarship total is not included in this summary.

Figure 4: Allocation of Entrance Scholarship by Merit among Registered High School Applicants, 2017/18



Source: Office of the Registrar

#### 2.4 ALLOCATION BY PROGRAM YEAR, DOMESTIC UNDERGRADUATE

The distribution of funding across years of study remained consistent compared to 2016/17, as the existing financial support program structure was maintained. This distribution continued to see students in the upper years of their program consume need-based financial supports at a greater rate than students in the earlier years of the program. In the 2017/18 fiscal year, the number of domestic students supported by bursaries decreased from 681 to 563. As previously explained, this decrease is the result of a delayed application cycle compared to previous years, as well as a decrease in eligible applicants.

Table 9: Ratio of Allocation of Resources by Year of Program

	2017/18						2016/17	
Year of Study	Scholarship	Bursary	Repayable Emergency Loan	Total	% of Total	Number of Students	Total	% of Total
Year 1	\$5,563,247	\$325,080	\$56,500	\$5,944,827	25.9%	1,651	\$5,480,299	23.7%
Year 2-5	\$13,344,129	\$3,217,107	\$269,327	\$16,830,563	73.2%	6,007	\$17,425,248	75.4%
Special/ Visiting Students	\$70,489	\$94,900	\$41,686	\$207,075	0.9%	77	\$217,615	0.9%
Total	\$18,977,864	\$3,637,087	\$367,513	\$22,982,465	100.0%	7,735	\$23,123,162	100.0%

Source: Office of the Registrar

Note: Percentages shown will not add up to 100 per cent due to rounding.

## 2.5 GOVERNMENT STUDENT LOANS, DOMESTIC UNDERGRADUATE

10,997 domestic students received financial support through the provision of Canadian government loans (both federal and provincial) for a total of \$57,979,773. In 2017/18, 43 per cent of Alberta students enrolled at the University of Alberta were funded by government loans, compared to 27 per cent of their out-of-province counterparts. This may be because the eligibility requirements of Alberta's loan program make it more easily accessible than other provinces'. 41 per cent of all domestic undergraduate students accessed government loans.

In the 2017/18 year, more undergraduate students (530 students representing a five per cent increase) received government loan funding, however the total funding issued through government loans decreased by \$1.5M or three per cent.

Table 10: Expense by Year of Program and Type of Support, Amount, 2017/18

Year of Study	Alberta Student Loan (+Canada Student Loan)		Canada Student Loan Only		Out-of-Province Student Loan (+Canada Student Loan)		Total	
	Number of Students	Amount	Number of Students	Amount	Number of Students	Amount	Total	% of Total
Special/ Visiting Students	119	\$62,245	228	\$665,979	7	\$80,385	\$1,366,608	2.4%
Year 1	1922	\$10,960,864	516	\$1,692,965	77	\$513,735	\$13,167,564	22.7%
Year 2	2088	\$13,203,298	513	\$1,996,073	66	\$453,259	\$15,562,630	27.0%
Year 3	1760	\$10,478,683	666	\$2,461,938	88	\$672,201	\$13,612,822	23.5%
Year 4-5	1780	\$10,472,911	1103	\$3,299,030	64	\$408,209	\$14,180,149	24.5%
Total	7699	\$45,736,001	3026	\$10,115,985	302	\$2,127,788	\$57,979,773	100.0%

Source: Office of the Registrar

The university continues to work with the Government of Alberta to gain additional information about University of Alberta students receiving government loans. Of particular interest is developing a better understanding of the needs and numbers of low-income students (as defined by the government loan assessment) so that appropriate financial supports to address access and affordability may be explored.

### 3. INDIGENOUS UNDERGRADUATE STUDENT FINANCIAL SUPPORT

#### 3.1 INDIGENOUS UNDERGRADUATE

Indigenous students make up approximately 3.9 per cent<sup>22</sup> of the domestic undergraduate population, and the success of this group of students is a priority for the university. Indigenous learners face unique financial challenges and barriers, so dedicated and robust financial support programs are required to support the *For the Public Good* commitment to recruiting and supporting Alberta and Canada's Indigenous population.

According to the *2017/18 Annual Report on Undergraduate Enrolment*, the university has 1,081 self-declared Indigenous students. Of these 1,081 students, 64 per cent (693 students) are currently receiving financial support (not including third-party/First Nations, Métis, or Inuit sponsorship).

*Note: Indigenous data is based on self-identification and therefore may under-represent the true number of Indigenous students at the university.*

Table 11: Allocation of Funds to Indigenous students by type of support

Funding Source	2017/18			2016/17			2015/16		
	Number of Students	Total	Average Amount Per Recipient	Number of Students	Total	Average Amount Per Recipient	Number of Students	Total	Average Amount Per Recipient
Government Loan	393	\$1,728,134	\$4,397	358	\$1,746,537	\$4,879	N/A	N/A	N/A
Scholarship	423	\$1,593,697	\$3,768	412	\$1,558,922	\$3,784	323	\$1,205,144	\$3,731
Bursary	40	\$211,905	\$5,298	35	\$190,600	\$5,446	28	\$144,809	\$5,172
Repayable Emergency Loan	62	\$97,568	\$1,574	50	\$90,860	\$1,817	34	\$55,675	\$1,638
Total	918	\$3,631,304	\$3,956	855	\$3,586,919	\$4,195	385	\$1,405,628	\$3,651

Source: Office of the Registrar

Note: Total recipients includes double counting.

Funded by the Government of Alberta and administered by the RO, the Indigenous Careers Award (ICA) distributed a total of \$842,000 to 216 students in the 2017/18 fiscal year. This award program is the primary reason the average Indigenous scholarship amount of \$3,768 is above the average domestic scholarship amount of \$2,609. The ICA program continues to account for over half of the total scholarship funding provided to Indigenous undergraduate students.

<sup>22</sup> 2017/18 Annual Report on Undergraduate Enrolment.

Table 12: Support to Indigenous students, 2017/18

Funding Source	Number of Indigenous students	Total Undergraduate Financial Support	Total Indigenous Financial Support	% of Total
Scholarship	423	\$23,691,900	\$1,593,697	6.7%
Bursary	40	\$4,222,062	\$211,905	5.0%
Repayable Emergency Loan	62	\$420,288	\$97,568	23.2%
Government Loan	393	\$57,979,773	\$1,728,134	3.0%
Total	918	\$86,314,023	\$3,631,304	4.2%

Source: Office of the Registrar

Note: Total recipients includes double counting.

The distribution of Indigenous financial support as a percentage of total undergraduate financial support was relatively constant compared to the last two fiscal years (2015/16 and 2016/17). While spending across scholarship and bursary sources increased, emergency loans also increased. This may be the result of increased awareness of the program, but it might also be a signal for the need to evaluate the current need-based programs to ensure Indigenous students are receiving the appropriate financial supports.

Of the \$3.6M in financial support issued to Indigenous students, 66 per cent (\$2.4M) was awarded to students who self-declared as Métis, followed by Status First Nations at 24 per cent (\$879,722). These rates are not consistent with enrolment rates of Indigenous students, which saw 53 per cent identified as Métis and 37 per cent identified as Status First Nations.

Student Financial Support continues to work collaboratively with First Peoples' House (FPH) to increase Indigenous student participation in financial literacy programs. We support FPH in the administration of the Indigenous Student Support Fund, which allocates \$50,000 annually to Indigenous students facing emergent financial needs. Additionally, a Financial Support Advisor provides in-person support to Indigenous students in FPH two days per week and has increased the financial literacy programs and information sessions provided at First Peoples' House.

Additional initiatives for this audience will be introduced in 2018/19 to address the financial challenges facing Indigenous students, in support of the university's priority on recruiting and supporting this group.

## 4. INTERNATIONAL UNDERGRADUATE

### 4.1 OVERALL INTERNATIONAL UNDERGRADUATE FINANCIAL SUPPORT

Both international students recruited abroad and international students who attended high school in Canada may receive financial supports which are primarily merit-based, funded by international differential fees paid by international students, and used as a recruitment tool. As it is expected by both the Government of Canada and the university that international students should be able to fund their studies, less emphasis is placed on need-based funding for this group. Student Financial Support works with University of Alberta International (UAI) to administer the merit-based program and some need-based programs for international students. Minor changes to the international scholarship program were made for the 2017/18 cycle, with a shift in funding going towards students from target recruitment regions.

1,231 or 26 per cent of international students (7.2 per cent of total undergraduate recipients) received financial supports. Overall spending on international students in 2017/18 increased by \$543,514 (see Table 13). The average amount for international scholarships rose by 17 per cent over 2016/17 (from \$3,515 to \$4,113). The increased average amount per student and total amount expended on international student scholarships can be attributed to changes in the admission-based scholarship targeted to international students admitted with an admission average of 90.0 per cent or greater. There was also a small increase (\$160,000) in funds available for this international scholarships in 2017/18.

Funding for international students through bursary programs decreased by \$147,675 (20 per cent) in 2017/18. As mentioned previously, decreases in need-based spending is due to a delayed start to the application cycle and the receipt of fewer eligible applications.

Table 13: Allocation of Funds to International Students

Funding Source	2017/18			2016/17			2015/16		
	Number of Students	Total	Average Amount Per Recipient	Number of Students	Total	Average Amount Per Recipient	Number of Students	Total	Average Amount Per Recipient
Scholarship	1,146	\$4,714,036	\$4,113	1,143	\$4,017,905	\$3,515	783	\$2,857,786	\$3,650
Bursary	71	\$584,975	\$8,239	74	\$732,650	\$9,901	57	\$518,410	\$9,095
Repayable Emergency Loan	27	\$50,575	\$1,873	25	\$55,516	\$2,221	4	\$4,420	\$1,105
Total	1,244	\$5,349,586	\$4,300	1,242	\$4,806,071	\$3,870	844	\$3,380,616	\$4,005

Source: Office of the Registrar

Note: Figure represents funding from University Operating, Donor Endowed, Donor Annual, Government of Alberta, and Repayable Emergency Loans administered by both the RO and UAI.

Total recipients includes double counting.

## 4.2 ORIGIN AT THE TIME OF APPLICATION, INTERNATIONAL UNDERGRADUATE

The diversity of countries represented by students who received financial supports increased in 2017/18. This aligns with the changes in diversity observed in our international enrolment, as the total number of international citizenship countries increased in 2017/18<sup>23</sup>. China remains the most represented country of citizenship among international students, and the country whose students received the most financial support despite an observed decrease in enrolment proportion. Compared to 2015/16 when 51 per cent of financial supports issued went to students from China, the percentage of financial supports to students from China decreased to 39 per cent in 2017/18. This change reflects successful recruitment efforts to diversify the international population on campus, while maintaining support for international students from all regions.

Table 14: Top Source Countries by Student Citizenship Receiving Financial Support, 2017/18

Country	Scholarship	Bursary	Repayable Emergency Loan	Total	% of Total	Number of Students	% of Total Undergraduate Enrolment
China	\$2,013,473	\$72,400	\$3,900	\$2,089,773	39.1%	713	69.1%
India	\$508,123	\$78,700	\$5,700	\$592,523	11.1%	87	4.0%
Bangladesh	\$368,800	\$60,900	\$8,300	\$438,000	8.2%	63	2.1%
Nigeria	\$157,150	\$142,375	\$17,325	\$316,850	5.9%	54	2.7%
Viet Nam	\$192,050	-	-	\$192,050	3.6%	29	1.3%
Other Countries	\$1,474,439	\$230,600	\$15,350	\$1,720,389	32.2%	217	20.9%
Total	\$4,714,036	\$584,975	\$50,757	\$5,349,586	100.0%	1,217	100.0%

Source: Office of the Registrar

Looking only at the distribution of need-based international financial supports, 88 per cent of need-based funding went to students from countries other than China. Nearly 49 per cent of need-based supports went to India, Bangladesh and Nigeria who collectively held 8.8 per cent of total undergraduate enrolment in 2017/18. Based on this distribution, continued evaluation of this funding with consideration to the unique needs of students from specific countries, as well as the desire of the institution to continue to diversify international enrolment, is required.

## 4.3 ALLOCATION OF ENTRANCE SCHOLARSHIPS, INTERNATIONAL UNDERGRADUATE

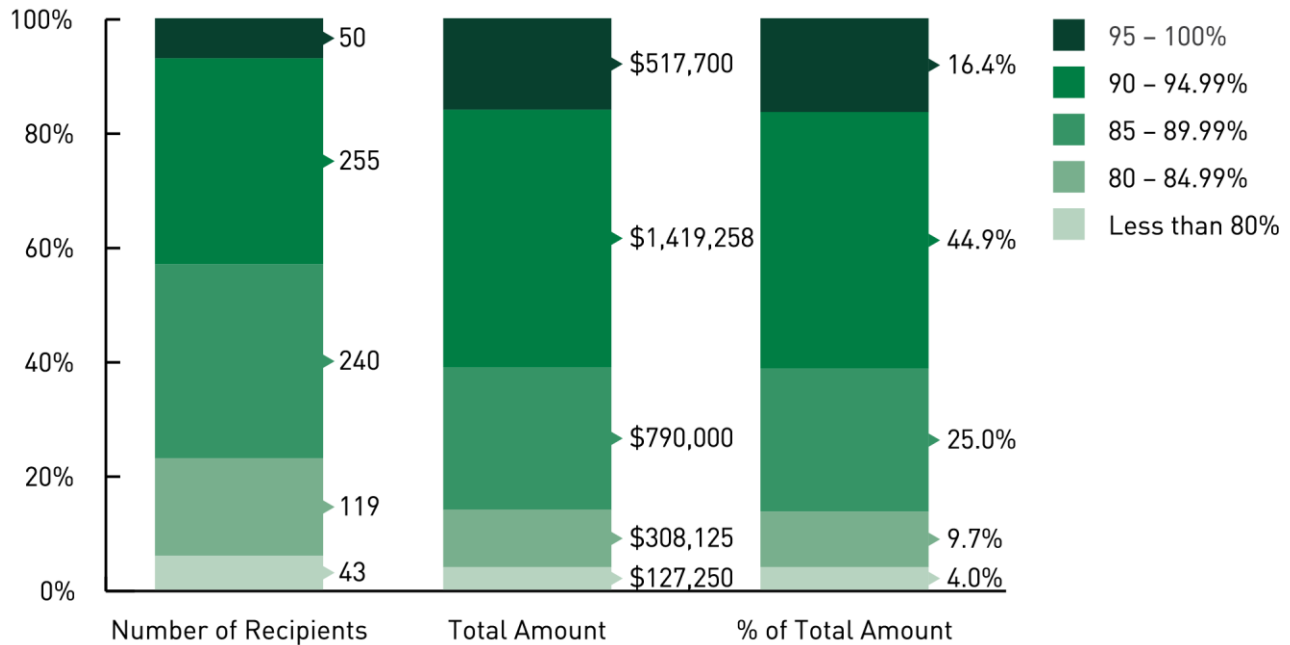
Current international entrance scholarship programs continued to focus on high school students entering the university with an admission average of at least 85.0 per cent. Spending on international

<sup>23</sup> 2017/18 Annual Report on Undergraduate Enrolment.



entrance scholarships increased by \$620,566 compared to 2016/17, with 87 per cent of that increase in spending distributed to students with admission averages above 90.0 per cent. This increase demonstrates the university's commitment to recruiting students with high academic standing.

Figure 5: Allocation of Entrance Scholarship by Merit among Registered High School International Applicants, 2017/18



Source: Office of the Registrar

#### 4.4 ALLOCATION BY PROGRAM YEAR, INTERNATIONAL UNDERGRADUATE

When examining need-based programs for international students, it should be noted that the criteria for bursary eligibility for this group differs from those used to assess need for their domestic counterparts; international students must demonstrate a change in financial situation due to exceptional circumstances since their initial study permit application. Both the Government of Canada and the university expect that international students are able to cover the costs of their education, yet sometimes individual student circumstances change.

In 2017/18 spending on international bursaries decreased by 20 per cent (\$147,675).

Bursary funding is issued through both the Office of the Registrar's bursary program and the University of Alberta International (UAI) Undergraduate Student Bursary program<sup>24</sup>.

<sup>24</sup> The International Undergraduate Student Bursary program is administered by UAI (application, assessment and selection facilitated by UAI) however payments disbursed to students are facilitated by SFS. This bursary program is funded by differential fees and comes from an annual allocation to UAI's international bursary programs.

Table 15: Allocation Amounts by Year of Program

Year of Study	2017/18						2016/17	
	Scholarship	Bursary	Repayable Emergency Loan	Total	% of Total	Number of Recipients	Total	% of Total
Year 1	\$3,397,774	\$3,400	\$9,400	\$3,410,574	63.8%	771	\$2,798,381	58.2%
Year 2-5	\$1,316,262	\$573,675	\$31,175	\$1,921,112	35.9%	440	\$2,002,790	41.7%
Special/ Visiting Students	-	\$7,900	\$10,000	\$17,900	0.3%	6	\$4,900	0.1%
Total	\$4,714,036	\$584,975	\$50,575	\$5,349,586	100.0%	1,217	\$4,806,071	100.0%

Source: Office of the Registrar

Note: Percentages shown will not add up to 100 per cent due to rounding.

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## APPENDIX A

### SUMMARY OF STUDENT FINANCIAL SUPPORT PROGRAMS

SFS programs fall into four categories:

#### 1. Merit-based Funding

Merit-based funding refers to scholarships and awards and is distributed on the basis of academic performance<sup>25</sup> and/or leadership achievements. Merit-based “entrance” awards (for incoming high school students) are primarily funded by faculty and university operating dollars, with the majority being selected by SFS in coordination with faculties. Merit-based awards for continuing students are predominantly supported by donors, with recipients selected by faculties/departments. The Government of Alberta also has a significant [Alberta Scholarships](#) program for Alberta residents<sup>26</sup>.

#### 2. Need-based Funding

Need-based funding refers to financial need (as assessed by SFS). Our need-based funding is provided through two programs: the Supplementary Bursary Program and the repayable emergency loans program<sup>27</sup>. The majority of need-based funding is distributed through the bursary program, which provides non-repayable funds to students experiencing a financial shortfall during the academic year; we also distribute repayable emergency loans, which are issued for emergency situations and must be repaid. In order for a domestic student to receive bursary funding, they must demonstrate that they have already accessed all other financial resources available to them, including government student loans. A financial need assessment is performed by a SFS advisor, which includes a Moderate Standard of Living (MSOL) calculation that attempts to address the gap between loan funding and actual costs of attending the university. The MSOL calculation is reviewed annually and follows the Government of Alberta’s provincial loan guidelines and is adjusted to more accurately reflect living costs.

#### 3. Government Student Loans

Student loans are administered jointly by the provincial and federal governments; the university does not administer government student loans. However, the RO provides students with support for the loan application process, as well as general advising on student loans. (Other units on campus provide student loan advising as well). Aggregate information on total loan funding from Government of Alberta is available, but the individual breakdown of the funding per student is not captured. This is a major gap in our ability to capture a comprehensive view of the financial supports available, hindering our ability to identify funding opportunities and challenges facing students. These limitations are primarily a result of the longstanding university process for collecting information on each provincial and federal program. Going forward it is our aim to gain more insights into loan disbursement at the U of A and beyond.

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<sup>25</sup> Academic performance refers to minimum admission average or GPA thresholds. For awards, normally the minimum GPA is 2.0 or admission to a university program, while the minimum GPA required for scholarships is 3.5 (or top 10 per cent of comparable students) or 80.0 per cent admission average.

<sup>26</sup> Definition of Alberta residents as defined by Albert Student Aid and is not currently captured in University of Alberta data and does not equate to the definition of Alberta students (based on Origin Address in the student information system) used in later sections.

<sup>27</sup> Some merit-based awards and scholarships include secondary criteria such as financial need; however the assessment of financial need of those awards and scholarships is not equivalent to that performed in the need-based programs.

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#### 4. Financial Literacy and Outreach

The RO engages in activities and provides services aimed at improving students' financial literacy and money management skills, with the goal of empowering students to understand and improve their unique financial situations. Last year, over 50 presentations were hosted on and off campus, including at Edmonton and area high schools, at U School classes<sup>28</sup>, and financial literacy workshops. As well, over 600 advising appointments were booked last year, providing students with one-on-one advice about resources and tools available to them to manage their finances. The RO will continue to support its financial literacy portfolio to increase on-campus engagement and reach more prospective and incoming students.

*Note: SFS also provides administrative support for undergraduate summer research awards (NSERC USRA, Roger S Smith and other Med Summer Research). As these are paid summer employment, they are not included in this report.*

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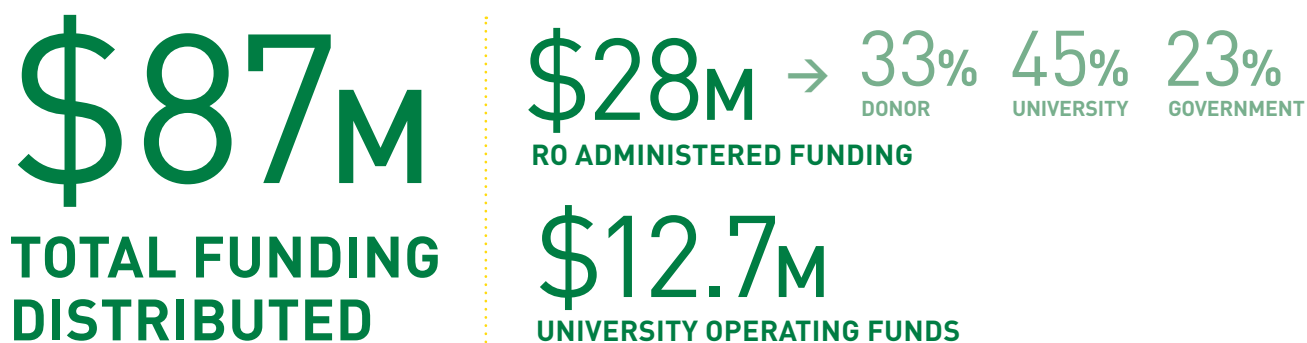
<sup>28</sup> U School is a program created by the University Senate that invites grade 4–9 students from socially vulnerable schools to visit campus for a week and gain exposure to post-secondary education.

# 2017 – 18 UNDERGRADUATE STUDENT FINANCIAL SUPPORT OVERVIEW

The Office of the Registrar is committed to the provision of robust student financial support programs to benefit Albertan, out-of-province, Indigenous, and international undergraduate students.

The Undergraduate Student Financial Support Overview provides a snapshot of student funding for the 2017 – 18 fiscal year. A supplement to the full Annual Report on Undergraduate Student Financial Support, this provides a high-level view of our financial support programs and the students who access them.

## Our Funding, Our Undergraduate Students



## TOTAL UNDERGRADUATE FINANCIAL SUPPORT, 2017/18

FUNDING SOURCE	NEED-BASED	MERIT-BASED	TOTAL AMOUNT
Donor	\$1,735,455	\$7,526,645	\$9,262,100
Government	\$57,979,773	\$6,376,400	\$64,356,173
University	\$2,906,895	\$9,788,855	\$12,695,750
External Funding			\$868,301
<b>Total</b>	<b>\$62,622,123</b>	<b>\$23,691,900</b>	<b>\$87,182,324</b>

External Funding is contributed and selected by external organizations, but processed by the RO.

## 2017 – 18 UNDERGRADUATE STUDENT **FINANCIAL SUPPORT OVERVIEW**

### About Our Undergraduate Financial Support Recipients

**17,130** = **53.9%**  
**TOTAL RECIPIENTS** OF TOTAL UNDERGRADUATE ENROLMENT

**30%**

OF UNDERGRADUATE STUDENTS WHO RECEIVED **NEED-BASED** SUPPORT ALSO RECEIVED **MERIT-BASED** SUPPORT

YEAR 1

**26%** = **25.4%**  
OF FUNDING OF TOTAL ENROLMENT

YEAR 2 – 5

**72%** = **66.1%**  
OF FUNDING OF TOTAL ENROLMENT

### DOMESTIC UNDERGRADUATE STUDENTS

**15,899** = **58.7%**  
**TOTAL RECIPIENTS** OF TOTAL DOMESTIC UNDERGRADUATE ENROLMENT

**\$81M**  
RECEIVED IN FUNDING

**87%** OF DOMESTIC FUNDING WENT TO ALBERTA STUDENTS

National Achievement Scholarship and Fly Home Award attributed to the increase in spending for out-of-province students by 16.2% (\$303,980)

### INDIGENOUS UNDERGRADUATE STUDENTS

**693** = **64%**  
**TOTAL RECIPIENTS** OF TOTAL INDIGENOUS UNDERGRADUATE ENROLMENT

**\$3.6M**  
RECEIVED IN FUNDING

Student Financial Support continues to work collaboratively with First Peoples' House (FPH) to increase Indigenous student participation in financial literacy programs.

### INTERNATIONAL UNDERGRADUATE STUDENTS

**1,231** = **26%**  
**TOTAL RECIPIENTS** OF TOTAL INTERNATIONAL UNDERGRADUATE ENROLMENT

**\$5.3M**  
RECEIVED IN FUNDING

STUDENTS FROM **72 COUNTRIES\*** RECEIVED FINANCIAL SUPPORTS

\*out of 106 represented in U of A enrolment

President's Award for Refugees and Displaced Persons met the target of 5 new incoming students in the 2017/18 academic year (in collaboration with the WUSC Student Refugee Program).

