Monday, January 27, 2020
Council Chamber, 2-100 University Hall (UNH)
2:00 PM - 4:00 PM

OPENING SESSION

1.   Approval of the Agenda   David Turpin

2.   Report from the President   David Turpin
        - Introduction of GFC Secretary
        - Joint Board/GFC/Senate Summit Debrief
        - Student Vacancies on GFC and GFC Committees
        - Budget Update

CONSENT AGENDA

        [If a member has a question or feels that an item should be discussed,   David Turpin
        they should notify the Secretary to GFC, in writing, two business days
        or more in advance of the meeting so that the relevant expert can be
        invited to attend.]

3.   Approval of the Open Session Minutes of November 25, 2019

4.   New Members of GFC

5.   Proposed Increase to Minimum English Language Proficiency Entrance
        Requirement for Graduate Programs, Faculty of Graduate Studies and
        Research

        Motion: To Approve Items in the Consent Agenda

EARLY CONSULTATION

6.   Addition of Equity, Diversity and Inclusivity (EDI) language to UAPPOL   Wendy Rodgers
        Recruitment and Selection of Faculty and Staff Policy Suite

7.   Effective Teaching and Learning: A Framework for Multifaceted   John Nychka
        Assessment   Janice Miller-Young
                                                                                Cheryl Poth
                                                                     Luis Fernando Marin

DISCUSSION ITEMS

8.   Recommendations of the GFC Executive's ad hoc Committee on   Tammy Hopper
        Program Approval Processes

9.   Replenishment of GFC, Standing Committees, and other bodies (no   David Turpin
        documents)   Jonathan White

This agenda and its corresponding attachments are transitory records. University Governance is the official copy holder for files of the Board of Governors, GFC, and their standing committees. Members are instructed to destroy this material following the meeting.

10.   Student Rights and Responsibilities Resource   Akanksha Bhatnagar

11.   Question Period   David Turpin

INFORMATION REPORTS

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

12.   Report of the GFC Executive Committee

13.   Report of the GFC Academic Planning Committee

14.   Report of the GFC Academic Standards Committee

15.   GFC Nominations and Elections
        A. GFC Recent Elections
        B. Current Vacancies on GFC Committees

16.   Report of the Board of Governors

17.   Information Items
        A. 2018/19 Annual Report of Student Conduct Responses, Dean of
        Students' Portfolio

18.   Information Forwarded to GFC Members Between Meetings
        - Announcement - Vice-Provost and University Registrar
        - Announcing the New Dean of Law
        - Announcement Regarding Vice-President (Research and Innovation)
        - Invitation to the Joint Board/GFC/Senate Summit
        - Approval of the Statement on Free Expression

CLOSING SESSION

19.   Next Meeting of General Faculties Council: February 24, 2020

Presenter(s):

David Turpin	President and Vice-Chancellor, and Chair of General Faculties Council
Wendy Rodgers	Deputy Provost
John Nychka	Vice-Provost (Programs)
Janice Miller-Young	Academic Director, Centre for Teaching and Learning
Luis Fernando Marin	Senior Research Coordinator, Centre for Teaching and Learning
Cheryl Poth	Associate Director, Centre for Teaching and Learning
Tammy Hopper	Vice-Provost (Programs), and Chair of GFC Executive's ad hoc Committee on Program Approval Processes

Jonathan White   Chair, GFC Nominating Committee
Akanksha Bhatnagar   President, Students' Union

Documentation was before members unless otherwise noted.

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

PRESIDENT'S REPORT

TO THE GENERAL FACULTIES COUNCIL | January 27, 2020

It has been a difficult month for our community. On January 8 we woke up to the news of a devastating loss of life of 176 people aboard Flight PS752 leaving Tehran, Iran. As the day unfolded, it was confirmed that 10 of the victims were university students, faculty, and alumni, and another three were close family members. Through the stories and memories that have been shared, it is clear to me that the people we lost were talented, generous with their time, eager to help make the world a better place, and important to the intellectual and social fabric of their communities. This is a significant tragedy and loss for our entire university community, and we have been in mourning.

I am moved by how our community came together to respond to this tragedy. Many volunteered their time, attended vigils and memorials, acknowledged a moment of silence, shared a message of condolence, or supported someone who is grieving. With input from our internal and external communities, the Mojgan Daneshmand, Pedram Mousavi, and Victims of Flight PS752 Memorial Fund has been established with the goal of creating an endowment to provide two annual graduate student scholarships. The teams in the Office of the Dean of Students, Human Resource Services, and Faculty of Graduate Studies have ensured that critical supports are available to everyone.

On Monday, January 20 the Minister of Advanced Education announced details of the province's new outcomes-based funding model that is anticipated to come into effect in April 2020. The University of Alberta will be working with the Ministry of Advanced Education to set performance measures and targets that support the key role we play in Alberta's economic and social prosperity. On Friday, January 24 the General Faculties Council, Board of Governors, and Senate will convene for the annual joint summit with this as our topic.

I recently provided another budget update to the community. We are on pace to meet our budget targets, inclusive of the in-year grant reduction in every fund, with the exception of the capital fund. We are on target thanks to actions that have occurred across the university, including hiring constraints, cuts to all non-essential spending, participation by nearly 600 employees in the voluntary winter leave program, and staff reductions due to attrition, retirements, and position eliminations. We know there is more work to be done and budget planning for 2020-21 is well underway. I will continue to provide the community with regular updates.

I would like to welcome Yimmie Sonuga, our new General Faculties Council Secretary and Manager of GFC Services. Yimmie is a proud alumna and has extensive experience and knowledge in the area of corporate and not-for-profit governance. She will be a valuable addition to the GFC and governance team.

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BUILD

Workplace Diversity Census

On November 26 the Workforce Diversity Census was distributed via email to employees. The census had a 62 per cent response rate. The results are now being analyzed by a third party and the data will give us a better understanding of our current environment, and guide the next steps of our Equity, Diversity and Inclusivity Strategic Plan.

Focus Conversations

In December and early January employees were invited to participate in a series of EDI focus conversations, led by an independent third-party consultant, about experiences of inclusion, equity, and marginalization at the university. The conversations intend to provide a safe, confidential way for employees to provide input to help the university to better understand employees' needs, barriers, and opportunities. Now that the conversations have concluded, the consultant will submit a written report summarizing the results to the Office of the Deputy Provost to help inform the review and implementation of the EDI Strategic Plan. There are plans to facilitate these conversations with students in the future.

EXPERIENCE

EDI Awards

The EDI Awards program honours faculty, staff, and students who are champions in the creation of respectful, diverse, and inclusive environments at the University of Alberta. I encourage you to nominate individuals, work teams, or campus groups that have demonstrated skill, determination, and accomplishment in building equity, diversity, and inclusivity. The deadline is January 31.

New Residence Terms

As of December 2019 Residence Services now offers eight-month contracts in Linden, Tamarack, Pinecrest, and Nipisiy residences. This change comes in response to student feedback that suggested the eleven-month contracts were not conducive to students who only need accommodations for fall and winter semesters.

Athletics Records

Over the fall a number of impressive athletics records were set by our Golden Bears and Pandas:
- Vanessa Wild, senior guard on the Pandas basketball team, broke a 40-year-old record by scoring 39 points in one game.

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- Pandas volleyball coach Laurier Eisler is the first school coach in Alberta to achieve 800 career wins. Eisler's overall coaching record now stands at 800-302 over 28 seasons. Eisler also holds the record for most wins as a University of Alberta coach.
- Pandas hockey coach Howie Draper scored 600 career wins, the first women's collegiate hockey coach to do so in Canada in 23 years.
- For the first time in history, both the Bears and Pandas curling teams won the provincial championship in the same year.

EXCEL

Community Connection Awards

The University of Alberta's Community Connections Awards honour individuals and groups who have embodied the U of A's promise to "uplift the whole people" by sharing their expertise, time, and energy for the benefit of the public good. Nominations for these awards are open through February 6. I encourage you to nominate your colleagues who have demonstrated exceptional service to the university through the impact of their community involvement.

Signature Area Development

Professors Geoffrey Rockwell (Faculty of Arts) and Eleni Stroulia (Faculty of Science) are leading the development of a new signature area, AI 4 Society. This signature area will build on more than four decades of expertise in AI and machine learning. Over the last 30 years the University of Alberta has consistently been ranked as one of the top three institutions worldwide for AI research. In 2018 Google DeepMind, opened its first international research lab in Edmonton under the leadership of three U of A experts.

Top 40 Under 40

A number of the University of Alberta's faculty and staff were recognized by *Avenue* Edmonton magazine in their annual Top 40 Under 40 issue. The U of A's Top 40 Under 40 include:

- Alexis Ksiazkiewicz, Office of the Vice-President (University Relations)
- Kate Storey, Faculty of Arts
- Matthew Douma, Faculty of Medicine and Dentistry
- Qaasim Mian, Faculty of Medicine and Dentistry
- Richard Oster, Faculty of Agricultural, Life and Environmental Sciences
- Ratmir Derda, Faculty of Science
- Rehana Chatur, Faculty of Medicine and Dentistry
- Kisha Supernant, Faculty of Arts

Awards of Excellence

- [Francois Paulette](), an Adjunct Professor in the School of Public Health, received the [Order of Canada]() for his contributions to treaty and Indigenous rights and his promotion of circumpolar health research.
- The [Celebration of Service Awards]() were held on December 2, 2019 to honour faculty and staff members who have attained service milestones of 25, 30, 35, 40, and 45 years. Seven faculty and staff members were also recognized with Awards of Excellence for their outstanding contributions to healthy and vibrant workplaces.

ENGAGE

Statement on Free Expression

The Board of Governors approved the University of Alberta's [Statement of Free Expression]() on December 13, 2019. Once again, thank you for your input and engagement over the past several months to arrive at a statement that is reflective of the university's commitment to providing spaces that balance discourse and debate with inclusiveness and respect for human dignity.

Visit to Mexico

In December I visited Tecnológico de Monterrey in Monterrey, Mexico to deliver a keynote address at the Innovating the Future of Education conference and strengthen the academic and research linkages between our universities. Many of our world-class researchers in the fields of artificial intelligence, clean energy, and advanced manufacturing are already working with colleagues at Tecnológico de Monterrey. Establishing closer ties with Tecnológico de Monterrey is driven by our recognition of their leadership in the area of innovation and entrepreneurial education. In recognition of this commitment, I signed a Memorandum of Understanding to enhance the mobility, in both directions, of students, interns and researchers between the universities, and to facilitate future research collaborations through a co-financed Seed Grant Program.

Community Partnership

[Atlas Biotechnologies]() is investing just under $300,000 over two years to fund three research studies in the Faculty of Medicine & Dentistry which will explore the use of medical cannabis for the treatment of multiple sclerosis, Alzheimer's, and Huntington's diseases.

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SUSTAIN

Clean Air Strategy
The Clean Air Strategy committee launched a survey on January 22 to gather input from the community about their attitudes toward smoking and vaping on our campuses. The data collected will inform the university's rules around tobacco, cannabis, and vaping, and determine whether there is interest in a Clean Air Strategy. The survey runs through February 12.

Leadership Transitions
- Melissa Padfield was appointed to the role of Vice-Provost and University Registrar effective December 1, 2019.

- Barbara Billingsley was appointed as Dean of the Faculty of Law for a five-year term, effective July 1, 2020.

- Matthias Ruth, Vice-Resident (Research and Innovation) has announced he will be leaving his role to take up the position of Pro-Vice-Chancellor for Research at the University of York, effective May 1, 2020. Walter Dixon, Associate Vice-President (Research) will serve as interim vice-president until a new vice-president is appointed.

- Dr. Brenda Hemmelgarn started in the role of Dean of the Faculty of Medicine & Dentistry on January 1, 2020.

Thank you for your continued dedication to academic governance at the University of Alberta.

Yours sincerely,
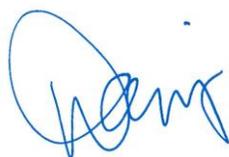
David H. Turpin, CM, PhD, LLD, FRSC
President and Vice-Chancellor

New Members of GFC

MOTION I: TO RECEIVE*:*

The following ex officio member, to serve on GFC for a term beginning January 1, 2020 and extending for the duration of the appointment:

Brenda Hemmelgarn, Dean, Faculty of Medicine and Dentistry

Item No. 5

Governance Executive Summary
Action Item

Agenda Title	**Proposed Increase to Minimum English Language Proficiency Entrance Requirement for Graduate Programs, Faculty of Graduate Studies and Research**

Motion

THAT General Faculties Council approve the proposed increase to the FGSR English Language Requirement as recommended by the GFC Executive Committee, as submitted by the Faculty of Graduate Studies and Research and as set forth in attachment 3, for implementation for Fall 2021 admissions and to be published in the 2020-2021 Calendar.

Item

Action Requested	☒ Approval ☐ Recommendation
Proposed by	Brooke Milne, Dean and Vice Provost, Faculty of Graduate Studies and Research
Presenter(s)	Brooke Milne, Dean and Vice Provost, Faculty of Graduate Studies and Research

Details

Responsibility	Provost and Vice-President (Academic)
The Purpose of the Proposal is (*please be specific*)	The proposal is before GFC to increase the minimum IELTS band score for graduate admission.
Executive Summary (*outline the specific item – and remember your audience*)	FGSR is proposing to raise the minimum ITELTS band score from 5.5 to 6.0. The minimum overall IELTS score would remain at 6.5. The increase is proposed in order to align the FGSR minimum with the proposed new undergraduate level. Graduate students at this University should meet the same English Language proficiency requirement as the undergraduate students that many of them will be teaching. It is also important for FGSR to stay competitive with other top universities in Canada. Higher ELP scores will ensure graduate students are better prepared to undertake graduate studies and research in English. Many graduate programs currently require higher scores than the FGSR minimum – these are reflected in their calendar entries. This increase is being proposed for implementation for Fall 2021 admissions.
Supplementary Notes and context	*<This section is for use by University Governance only to outline governance process.>*

Item No. 5

Engagement and Routing (Include meeting dates)

Consultation and Stakeholder Participation (parties who have seen the proposal and in what capacity) <For information on the protocol see the Governance Resources section Student Participation Protocol>	*Those who are actively **participating**:* • Faculty of Graduate Studies and Research
	*Those who have been **consulted**:* • Office of the Registrar September 3 2019 • Policy Review Committee (sub-committee of FGSR Council), which includes GSA representation and the Office of the Student Ombuds September 4 2019
	*Those who have been **informed**:* •
Approval Route (Governance) (including meeting dates)	FGSR Policy Review Committee September 4, 2019 FGSR Council October 16, 2019 ASC November 21, 2019 APC November 27 (for information) GFC Executive Committee January 13, 2020 GFC January 27, 2020

Strategic Alignment

Alignment with *For the Public Good*	Values We value excellence in teaching, research, and creative activity that enriches learning experiences, advances knowledge, inspires engaged citizenship, and promotes the public good. We value learners at all stages of life and strive to provide an intellectually rewarding educational environment for all. Build GOAL: Build a diverse, inclusive community of exceptional students, faculty and staff from Alberta, Canada, and the world.	
Alignment with Institutional Risk Indicator	Please note below the specific institutional risk(s) this proposal is addressing.	
	☐ Enrolment Management ☐ Faculty and Staff ☐ Funding and Resource Management ☐ IT Services, Software and Hardware ☐ Leadership and Change ☐ Physical Infrastructure	☐ Relationship with Stakeholders ☒ Reputation ☐ Research Enterprise ☐ Safety ☒ Student Success
Legislative Compliance and jurisdiction	Post-Secondary Learning Act (PSLA) GFC Academic Standards Committee Terms of Reference GFC ASC Subcommittee on Standards Terms of Reference GFC Executive Committee Terms of Reference GFC Terms of Reference	

Attachments (each to be numbered 1 - <>)

1. Attachment 1 Case for Action
2. Attachment 2 Comparison chart
3. Attachment 3 FGSR Calendar Change Request form

Prepared by: Maria Chia, Graduate Governance and Policy Coordinator, mchia@ualberta.ca

Changes to the Graduate ELP requirement
Case for Action
Fall 2019

Context:
For graduate programs, FGSR sets a minimum standard for English Language Proficiency. Departments may set their own ELP standards as higher than that of FGSR. These higher minimum requirements are reflected in their individual calendar entries.

Currently, 49 of 72 graduate programs have an approved higher ELP standard. Only 23 use the FGSR minimum requirement for admitting students. A further seven currently list a minimum IELTS band score of 5.5 in their entrance requirements.

Background:
In February 2018 FGSR Council discussed a proposal to raise the IELTS minimum band score from 5.0 to 6.0. Some council members saw the increase as a mechanism to better student success; others felt there could be significant impact on programs admitting students with band scores between 5.0 and 6.0. Council was also encouraged to look at our U15 comparators, many of whom require higher band scores.

The conversation continued at September 2018 Council. It was felt at the time that a jump in band score from 5.0 to 6.0 was too large to be absorbed all at once. It was further suggested that individual departments could raise their minimum requirements if they chose.

In October 2018 FGSR Council approved an increase in the IELTS minimum band score to 5.5 to align with the minimum requirement for undergraduate students. It was felt graduate students should meet at least the same minimum requirements as the undergraduate students many of them teach.

In March 2019 FGSR Council approved an increase to TOEFL, CAEL and Pearson minimum overall scores, and TOEFL, MELAB and Pearson minimum band scores, in order to align with the undergraduate values and to bring FGSR in line with our comparators.

Proposed increase:
FGSR is now proposing to raise the IELTS minimum band score from 5.5 to 6.0 on the same grounds as our previously approved increases:
- Our minimum band score of 5.5 is among the lowest requirements of our comparators. Raising our minimum band score to 6.0 would better align with our comparators. Our current overall requirement of 6.5 puts us level with the majority of our comparators, although three require higher scores.
- The Registrar's office is proposing an increase to the undergraduate IELTS minimum band score to 6.0. It has been established at FGSR Council that graduate students should meet the same ELP standard as undergraduates.

Consultation
This proposal was reviewed at the FGSR Policy Review Committee on September 4, 2019. There were no objections raised. Membership on PRC includes representation from GSA and from the Office of the Ombuds. The Ombuds noted it is to the students' advantage to enter a graduate program requiring a higher ELP value at the start, as often they meet with students who have progressed to the writing stage of their program and then encounter difficulty with the language.
The proposal was passed by FGSR Council October 16, 2019. There were no objections raised.

Comparator English Language Proficiency Requirements
Accurate as of August 2019

	Current undergrad minimum requirement	Current FGSR minimum requirement (individual departments may require higher scores)	Proposed FGSR change	UBC Graduate admissions	University of Toronto Graduate admissions	McGill Graduate admissions	McMaster Graduate admissions	Waterloo Graduate admissions	Queens Graduate admissions	UWO Graduate admissions	U Calgary Graduate admissions
TOEFL (ibT) OVERALL	90	90 **		90	93	86	92	90	88	86	86
TOEFL minimum band score	minimum band score of 21	minimum band score of 21**		22 (reading, listening) and 21 (writing, speaking)	22 in writing, speaking	no band less than 20		25 in writing and speaking	24 writing, 22 speaking and reading, 20 listening	No band less than 20	no band score less than 20
IELTS OVERALL Score	6.5	6.5		6.5	7.0	6.5	6.5	7.0	7.0	6.0	6.5
IELTS Minimum band schore	minimum band score of 5.5***	minimum band score of 5.5 *	Minimum band score of 6.0 for publication in the 2020-2021 calendar and effective for Fall 2021 admissions	6.0 each component	at least 6.5 for each component		5.5 in each section	6.5 in writing and speaking			no section less than 6.0

*Increase in IELT minimum band score from 5.0 to 5.5 was approved by Academic Planning Committee December 12, 2018 for implementation for Fall 2019 admissions.

** Increase in TOEFL overall and band scores for implementation for Fall 2020 admissions and for publication in the 2020-2021 Calendar. Approval pending GFC Sept 23 2019

*** RO is proposing an increase to the undergraduate IELTS minimum band score to 6.0 for the 2020-2021 calendar and to be effective for Fall 2021 admissions

2020-2021 University of Alberta Proposed Calendar Graduate Program Changes:

FGSR is proposing the following change to the minimum acceptable English Language Proficiency scores:
• Raise the minimum IELTS band score to 6.0

This change is proposed to keep FGSR minimum ELP scores level with the minimum acceptable undergraduate scores, and is for publication in the 2020-2021 calendar and for implementation for Fall 2021 admissions.

Current ** (sections highlighted in grey were approved by the Board Sept 23, 2019 for publication in the 2020-2021 calendar and for Fall 2020 admissions)	**Proposed**
Regulations of the Faculty of Graduate Studies and Research […] **English Language Requirement** […] The FGSR minimum acceptable scores are: • TOEFL: total score of 90 with a score of at least 21 on each of the individual skill areas (internet-based) or equivalent • MELAB: 85 with a minimum band score of 80 and a minimum score of 3 on the speaking component • Academic IELTS: 6.5, with at least 5.5 on each test band. • CAEL: overall 70 with at least 60 on each subtest. • PTE Academic: 61 with a minimum band score of 60. […]	**Regulations of the Faculty of Graduate Studies and Research** […] **English Language Requirement** […] The FGSR minimum acceptable scores are: • TOEFL: total score of 90 with a score of at least 21 on each of the individual skill areas (internet-based) or equivalent • MELAB: 85 with a minimum band score of 80 and a minimum score of 3 on the speaking component • Academic IELTS: 6.5, with at least 6.0 on each test band. • CAEL: overall 70 with at least 60 on each subtest. • PTE Academic: 61 with a minimum band score of 60. […]
Justification: See Case for Action Approved by: FGSR Council October 16 2019	

Governance Executive Summary
Advice, Discussion, Information Item

Agenda Title	Addition of Equity, Diversity and Inclusivity (EDI) language to UAPPOL Recruitment and Selection of Faculty and Staff Policy Suite

Item

Proposed by	Steven Dew, Provost and Vice-President (Academic)
Presenter	Wendy Rodgers, Deputy Provost

Details

Responsibility	Provost and Vice-President (Academic)
The Purpose of the Proposal is (please be specific)	The proposed changes to the Recruitment Policy and associated procedures look to ensure that recruitment and employment processes are equitable and inclusive. By adopting EDI principles and practices, the University hopes to achieve equality in the workplace and correct employment disadvantages experienced by persons historically underrepresented at the University, while maintaining its high quality workforce.
Executive Summary (*outline the specific item – and remember your audience*)	As required by the University Strategic Plan on Equity Diversity and Inclusivity, the Office of the Provost and Vice-President (Academic) in collaboration with the support of the Vice-President (Finance & Administration) are reviewing the UAPPOL Recruitment Policy suite to incorporate EDI language. A working group including representatives from Human Resource Services, Faculty Relations and General Counsel have supported the work. The review of the Recruitment Policy suite will: • Incorporate EDI principles and practices for recruitment and selection processes • Remedy exclusions and gaps in the current policy and procedures • Improve clarity and consistency across the current policy and procedures The proposed changes will influence recruitment practice including: • Details to ensure more equitable recruitment and decision making processes • Revision of requirements for committee composition • Requirements for training on equity, anti-discrimination and bias-awareness • Addition of requirements for declaration of conflict of interest • Details on how to conduct an equitable and inclusive search and selection including the drafting of the job ad and advertising of the position to favour a diverse pool of applicants
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	Early Consultation • Provost Fellow Malinda Smith • Office of Safe Disclosure and Human Rights • Directors, Human Resource Services

	• Senior Administrative Officers: Vice-President (Finance and Administration); Vice-President (Facilities and Operations); Vice-President (University Relations) • UAPPOL Policy Champions Group • University Governance • Statutory Dean's Council • PEC-O • Equity, Diversity and Inclusion (EDI) Action Group • EDI Scoping Group • Office of the President • Vice-Provost Council • GFC Executive Committee (January 13, 2020) • General Faculties Council (January 27, 2020)

Strategic Alignment

Alignment with *For the Public Good*	Please note the Institutional Strategic Plan objective(s)/strategies the proposal supports. **Institutional Values**: …we value intellectual integrity, freedom of inquiry and expression, and the equality and dignity of all persons as the foundation of ethical conduct in research, teaching, learning, and service. We value diversity, inclusivity, and equity across and among our people, campuses, and disciplines. ***For the Public Good*** Objective 2.ii: Strategy: Review, improve, and implement equity processes and procedures for recruiting and supporting faculty to ensure a balanced academy, representative of women, visible minorities, sexual and gender minorities, Indigenous peoples, and people with disabilities. Objective 3.ii: Strategy: Review, improve, and implement equity processes and procedures for recruiting and supporting staff to ensure that all categories of staff are representative of women, visible minorities, sexual and gender minorities, Indigenous peoples, and people with disabilities. ***Strategic Plan for EDI*** Goals 3.0: Incorporation of an EDI lens into policy development and review Revised recruitment and selection policies and procedures initiated, with governance approvals process underway
Alignment with Core Risk Area	Please note below the specific institutional risk(s) this proposal is addressing. ☐ Enrolment Management ☒ Relationship with Stakeholders ☒ Faculty and Staff ☒ Reputation ☐ Funding and Resource Management ☒ Research Enterprise ☐ IT Services, Software and Hardware ☒ Safety ☒ Leadership and Change ☒ Student Success ☐ Physical Infrastructure
Legislative Compliance and jurisdiction	Discrimination, Harassment, and Duty to Accommodate Policy Alberta Human Rights Act (Government of Alberta) Conflict Policy – Conflict of Interest and Commitment, and Institutional Conflict (UAPPOL) Discrimination, Harassment and Duty to Accommodate Policy (UAPPOL)

	Employment Standards Code (Government of Alberta)
	Equity, Diversity, and Inclusion: Best Practices in Faculty Recruitment nd Hiring
	Ethical Conduct and Safe Disclosure Policy (UAPPOL)
	Human Resources and Skills Development (Government of Canada)
	Immigration and Refugee Protection Act (Department of Justice)
	Post-Secondary Learning Act (Government of Alberta)
	Public Service Employee Relations Act (Government of Alberta)
	Collective Agreement between the Governors of the University of Alberta and The Association of Academic Staff of the University of Alberta
	Collective Agreement between the Non-Academic Staff Association and the University of Alberta.

Attachments

1. Red-lined Recruitment Policy Suite with EDI language (pages 1 - 59)

Prepared by: Kate Peters, Portfolio Initiatives Manager

Document4

Approval Date: May 13, 2011
Effective Date: July 1, 2011

Recruitment <u>and Selection of Employees</u> Policy <u>"Recruitment Policy"</u>

Office of Accountability: Provost and Vice-President (Academic) and Vice-President (Finance and Administration)

Office of Administrative Responsibility: Vice-Provost & Associate Vice-President (Human Resources) and Faculty Relations, Office of the Provost & Vice-President (Academic)

Approver: General Faculties Council & Board of Governors

Scope: Compliance with University policy extends to all academic, support and excluded staff, postdoctoral fellows, and academic colleagues as outlined and defined in the Recruitment Policy (Appendix A and Appendix B: Definitions and Categories).

Overview

To sustain its high quality workforce, the University of Alberta ("University") is committed to hiring the best-qualified candidates for its employment opportunities and aspires to achieve an **equitable**, **diverse** and **inclusive** community of quality **employees** consistent with the mission set out in its Strategic Plan for Equity, Diversity, and Inclusivity ("EDI Strategic Plan"). The University seeks to be a leader in developing best practice for equity, diversity and inclusivity in recruitment.

In addition to encouraging the recruitment of **persons historically under-represented** at the University - including women, Indigenous persons, members of visible minority groups, persons with disabilities and persons of any sexual orientation, gender identity or expression - achieving the University's goals of an equitable, diverse, inclusive and high quality workforce, also requires the conscious adoption of principles and practices in its recruitment processes. These principles and practices are designed to ensure that access to the University's employment opportunities is equitable and inclusive by removing employment-related barriers and minimizing biases – particularly those based on protected grounds.

By adopting EDI principles and practices, the University hopes to achieve equality in the workplace and correct employment disadvantages experienced by persons historically underrepresented at the University, while maintaining its high quality workforce.

Purpose

The purpose of this policy is to set out the principles and practices that apply to

·   recruitment decisions and processes, and

·   candidates for employment

in order to recruit an equitable, diverse, inclusive and high quality workforce that will contribute to the University's mission, achieve equality in the workplace and correct employment disadvantages

experienced by persons historically underrepresented at the University.

POLICY

1. RECRUITMENT PRINCIPLES AND PRACTICES

a. The University of Alberta is committed to hiring the best-qualified candidate for its employment opportunities. In all recruitment processes, the job posting will describe the required qualifications in an objective, equitable, and inclusive way. See Drafting Equitable Job Qualifications Information Document.

b. Decisions will be governed by the applicable collective agreements, federal and provincial law and legislation, University policy, in particular the *Discrimination, Harassment and Duty to Accommodate Policy*, and the EDI Strategic Plan.

c. Recruitment and decision-making processes will ensure fair and equitable assessment of candidates and reflect a commitment to removing employment-related barriers and minimizing biases - especially those based on protected grounds - which may inhibit equal access to, and opportunities in, the recruitment, retention and advancement of persons historically under-represented.

d. Selection committees- will draw upon contemporary practices for ensuring the fair and equitable assessment of candidates and employ fair and equitable indicators for determining the best-qualified candidate.

e. Selection committees should, to the extent possible, ensure that shortlisted candidates reflect and exceed the demographic diversity of the University. Specifically, candidate pools should be inclusive of persons historically under-represented.

f. Where candidates are determined to be similarly qualified for a position, the final hiring decision will favour achieving diversity in the workplace and correcting employment disadvantages experienced by persons historically under-represented at the University.

g. **Senior administrators** are responsible for ensuring that recruitment and decision-making processes within their respective areas of accountability are fair, equitable, and appropriately documented.

2. PRINCIPLES REGARDING CANDIDATES FOR EMPLOYMENT

a. All qualified individuals may apply for an employment position at the University including University employees, students and alumni. The University encourages persons historically under-represented at the University to apply.

b. Foreign nationals may apply for employment positions. The appointment of a foreign national to the position is, however, subject to applicable federal and provincial laws and legislation.

c. The employment of **children** is subject to applicable provincial laws and legislation.

d. The University's Conflict Policy and Managing Conflict of Interest in Employment Procedure applies to the recruitment and employment of persons with the University. Family members or associated individuals may apply for employment positions but the related employee will not be included in the recruitment process or hiring decision. At the same time, decisions about whether to hire family members or associated individuals must also take into account the fact that "family status" is a protected ground.

DEFINITIONS

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

Equity Equity is about fairness in access and in the opportunity to succeed in employment. Employment equity principles, policies, and practices enable equitable access, representation, opportunities, and meaningful participation of socially diverse people.

Diversity Diversity refers to difference or variety. In a broad societal EDI context, diversity refers to demographic or identity diversity, including that based on the protected grounds. Within universities, diversity encompasses these, as well as difference or variety in education, perspectives, opinions, heuristics, disciplines, faculties, skills, and learning opportunities. The University of Alberta supports and encourages diversity through the identification and removal of barriers and biases, and the creation of workplaces that are free of harassment and discrimination.

Inclusion Inclusion means that we value and cultivate full and meaningful engagement of historically and structurally excluded individuals and groups. Inclusion refers to enabling all individuals on our campuses to fully enjoy the opportunities the university has to offer, and to have all equity seeking groups meaningfully represented in all aspects of university life and decision-making roles university wide.

Employee(s) A person employed by the University and defined under *Recruitment Policy (Appendix A) Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff or Recruitment Policy (Appendix B) Definition and Categories of Support Staff*.

Persons historically under-represented Women, Indigenous personsoples (First Nations, Métis, Inuit), members of visible minority groups, persons with disabilities, persons of any sexual orientation, gender identity or expression.

Protected Grounds Refers to those grounds set out and defined in the *Alberta Human Rights Act* and in the University's *Discrimination, Harrassment and Duty to Accommodate Policy* (UAPPOL) which are: race, religious beliefs, colour, gender, gender identity, gender expression, physical disability, mental disability, age, ancestry, place of origin, marital status, source of income, family statuts, sexual orientation or political beliefs.

Senior Administrators President, Vice-Presidents, Associate Vice-Presidents, Vice-Provosts, Deans, Directors and Chairs.

Foreign national Any individual who is not a Canadian Citizen or Permanent Resident of Canada (Permanent Resident must continue to meet residency requirements).

Children Persons under the age of 16 as defined in s.65(1) of the Employment

Standards Code.

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

Associated Individuals An individual whose employment by a staff member would have the appearance of being a conflict of interest. This includes consensual personal relationships and business relationships.

RELATED LINKS

Should a link fail, please contact uappol@ualberta.ca.

Alberta Human Rights Act (Government of Alberta)

Conflict Policy – Conflict of Interest and Commitment, and Institutional Conflict (UAPPOL)

Discrimination, Harassment and Duty to Accommodate Policy (UAPPOL)

Employment Standards Code (Government of Alberta)

Equity, Diversity, and Inclusion: Best Practices in Faculty Recruitment and Hiring

Ethical Conduct and Safe Disclosure Policy (UAPPOL)

Human Resources and Skills Development (Government of Canada)

Immigration and Refugee Protection Act (Department of Justice)

Post-Secondary Learning Act (Government of Alberta)

Public Service Employee Relations Act (Government of Alberta)

University of Alberta's Strategic Plan for Equity, Diversity and Inclusivity

PUBLISHED PROCEDURES OF THIS POLICY

Academic Selection Procedure

Academic Staff Posting and Advertising Procedure

Acting and Interim Senior Administration Appointment Procedure

Department Chairs Review Procedure

Department Chairs Selection Procedure

Department Chairs Selection Procedure (Appendix B): Terms and Conditions for Department Chairs

Determination of a Worker's Status Procedure

Faculty Deans Review Procedure

Faculty Deans Selection Procedure

Faculty Deans Selection Procedure Appendix A: Dean Selection Committees for Individual Faculties

Housing Support Procedure

Moving Expenses and Relocation Benefits for Academic Staff Members Procedure

Presidential Review Procedure

Presidential Search Procedure

Presidential Search and Review Procedures (Appendix A): Committees for President Position Definitions and Eligibility

Recruitment Policy (Appendix A) *Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff*

Recruitment Policy (Appendix B) Definition and Categories of Support Staff

Selection of Department Chairs Procedure (Appendix A): Roles and Responsibilities

Support Staff Posting and Advertising Procedure

Support Staff Selection Procedure

Vice-Presidential Review Procedure

Vice-Presidential Search Procedure

Vice-Presidential Search and Review Procedures Appendix A: Committees for Vice-Presidents Position Definitions and Eligibility

Approval Date: December 11, 2009

Most Recent Editorial Date: May 21, 2014

Parent Policy: Recruitment Policy

Vice-Presidential Search Procedure

Office of Administrative Responsibility: Office of the President

Approver: Board of Governors

Scope: Compliance with this University procedure extends to all academic and excluded staff, administrators and colleagues as outlined and defined in the Recruitment Policy (Appendix A: Definitions and Categories).

Overview

The University of Alberta ("University") is committed to appointing the best-qualified candidates for its Vice President employment opportunities and aspires to achieve an **equitable**, **diverse** and **inclusive** community of quality senior administrators and employees consistent with the mission set out in its Strategic Plan for Equity, Diversity and Inclusivity ("EDI Strategic Plan"). By adopting EDI principles and practices into its Vice President search process, the University hopes to achieve diversity in the workplace and correct employment disadvantages experienced by **persons historically under-represented at the University**, while maintaining the high quality of its senior administration. These principles and practices are designed to ensure that access to the University's employment opportunities is equitable and inclusive by removing employment- related barriers and minimizing biases – particularly those based on **protected grounds**.

Purpose

The purpose of this procedure is to

● establish a Vice President ("VP") Advisory Search Committee ("Committee") and set out the composition of the Committee

● outline the election procedures for the academic staff members to the Committee

● provide a the general Vice President search process

● describe how the recommendations to the President and the Board are made and considered.

PROCEDURE

1. VP ADVISORY SEARCH COMMITTEES

    a. An Advisory Search Committee for the relevant vice-presidential position shall be established. The rules governing the composition of committees for the following positions are set out in Vice-Presidential Search and Review Procedures Appendix A: Committees for Vice-Presidents Position Definitions and Eligibility.

        i. Provost and Vice-President (Academic).

        ii. Vice-President (University Relations)

        iii. Vice-President (Finance and Administration)

        iv. Vice-President (Facilities and Operations)

v. Vice-President (Research and Innovation)

vi. Vice-President (Advancement)

b. The Office of the President is responsible for:

- drawing together the committee
- to the extent possible, ensuring that committee members reflect broad demographic diversity, inclusive of persons historically under-represented
- ensuring that the committee positions are properly replenished
- making committee members aware of their obligations under applicable University policy, in particular, the University's *Employment Equity Statement* and the *Discrimination, Harassment and Duty to Accommodate Policy*, and the EDI Strategic Plan
- providing committee members with applicable resources, including but not limited to training offered by the Office of Disclosure, Assurance and Institutional Research and Human Resource Services (HRS). Committee members are responsible for awareness of equity, anti-discrimination and bias, and knowledge of relevant policies and procedures.

c. Committee members are responsible for familiarizing themselves with

- the principles of equity, diversity and inclusivity

- concepts of unconscious bias, and discrimination

- the obligations under applicable University policies and statements, in particular, the Discrimination, Harassment and Duty to Accommodate Policy, the University's Employment Equity Statement and the EDI Strategic Plan.

2. ELECTION PROCEDURES FOR VICE PRESIDENT ADVISORY SEARCH COMMITTEE

a. CALL FOR NOMINATIONS

i. The GFC Secretary or delegate shall notify all employees described in Category A1.0 and D1.2 of the *Recruitment Policy (Appendix A)* Definition and Categories of Academic Staff, PostdoctoralFellows, Academic Colleagues and Excluded Academic Staff ("Academic Staff") that nominations for members of the VP Advisory Search Committee are being sought amongst the Academic Staff, who do not currently hold an administrative position.

ii. This notice or call for nominations, and any other postings and advertisements, should include the following information:

- The University's Recruitment Policy
- The **University Employment Equity Statement** should be included on all postings and advertisements.
- The date by which nominations must be received by the GFC Secretary or delegate
- Nominees must agree to let their name stand; and
- All nominations must be supported by the signatures of five Academic Staff (as defined in this procedure), not including the nominee.

iii. The deadline for submitting nominations to the GFC Secretary or delegate must be at least two weeks after the date on which the GFC Secretary or delegate sent out the call for nominations.

iv. The Secretary of GFC will ensure to the extent possible, that nominees reflect and exceed the demographic diversity of the University and my continue the call for nominations and extend the deadline for submitting nominations for this purpose.

b. CONFLICT OF INTEREST

a. All nominees shall complete conflict of interest declarations, and any identified real or perceived **conflicts** of interest must be managed in accordance with the University's *Conflict Policy* and its associated procedures.

b. Where a conflict can be managed, the management of it shall be approved by the GFC Secretary or delegate and the President, in consultation with Faculty Relations.

c. Where a conflict cannot be managed to the satisfaction of the GFC Secretary and President, the nominee may be disqualified and replaced through the nomination process outlined above.

c. ELECTION OF NOMINEES

        i. When electing three (3) Academic Staff from Categories A1.1, A1.6 or their counterparts in A1.5 and 1.7:

                - If there are between four and seven nominees, one election will be held.

                - If there are eight or more nominees, a preliminary election must be held with the six top candidates standing for election in a final ballot.

        - In both elections, the three candidates with the highest number of votes will be elected.

        ii. When electing one (1) Academic Staff from Category D1.2:

                - If there are between two and five nominees, one election will be held.

                - If there are six or more nominees, a preliminary election must be held with the top three candidates standing for election in a final ballot.

        - In both elections, the candidate with the highest number of votes will be elected.

        iii. When electing two (2) Academic Staff from Categories A1.1, A1.6 or their counterparts in A1.5 and A1.7:

                - If there are between three and five nominees, one election will be held.

                - If there are six or more nominees, a preliminary election must be held with the top four candidates standing for election in a final ballot.

                - In both elections, the two candidates with the highest number of votes will be elected.

        iv. When electing one (1) Academic Staff from Categories A1.2, A1.3, A1.4 and their counterparts in A1.5:

                - If there are between two and five nominees, one election will be held.

                - If there are six or more nominees, a preliminary election must be held with the top three candidates standing for election in a final ballot.

                - In both elections the candidate with the highest number of votes will be elected.

    d. ELECTORATE

        The electorate consists of the elected faculty representatives who sit on GFC on a "representation by population" basis and the appointed academic staff representatives.

    e. PREPARATION OF BALLOTS

        i. The GFC Secretary (or delegate) will prepare the ballot form with relevant instructions for the election, listing nominees in alphabetical order.

ii Only those eligible voting members will be provided with access to a confidential ballot. At the closure of the election period, the Secretary (or delegate) will ensure that electronic tabulation of the voting ballots occurs, with election results confirmed shortly thereafter.

iii.. Candidates for election will be asked to provide a brief biographical and professional description including their experience and training related to equity, diversity and inclusion, not exceeding 150 words, to be circulated with the ballot.

iv. The ballots will be made available by the Secretary (or delegate) and accompanied by clear voting instructions to ensure successful access to the ballot prior to the election voting deadline.

v. Voting instructions will encourage the electorate to consider the value of diversity amongst the Committee members in making their selections.

vi. The date and time by which the ballots must be received by University Governance will be clearly marked on the ballot.

vii. At the close of the election period, the GFC Secretary or delegate will ensure that electronic tabulation of the voting ballots occurs, with the election results confirmed shortly thereafter.

f. THE BALLOT COUNT

i. The Secretary (or delegate) will ensure that the candidates are aware of the election end date and time of ballot tabulation.

ii. At least 50% of ballots must be received before the ballots will be tallied.

iii. Each candidate may name a scrutineer to observe the tabulation of election results.

iv. In the event of a tie vote, a run-off election will be held. In the event of a second tie vote, the winner will be determined with consideration given to achieving demographic diversity on the committee.

v. After completion of the election, the ballot data is stored by the Secretary (or delegate) for one month and then destroyed.

vi. In the event the Committee does not sufficiently reflect the demographic diversity of the University, an additional Committee member may be appointed by the President in consultation with the comprised Committee

3. VICE PRESIDENT SEARCH PROCESS

1. Consultant

a. The President may retain a search consultant and may seek advice from the Advisory Search Committee with respect to retaining a consultant.

b. The consultant should demonstrate expertise in principles of equity, diversity and inclusivity and same should be reflected in their own organization.

c. The consultant will agree to conduct their search with goals of attracting the best-qualified candidates and achieving an equitable, diverse and inclusive community of quality senior administrators.

2. Advertisement

a. The President may arrange for a Vice President position to be advertised in advance of the Committee's first meeting and may seek advice from the Committee at any point with respect to the advertising process

b. Any advertisement for a Vice-President position will:

- describe the required qualifications, skills, abilities, competencies and credentials in an objective, equitable and inclusive way. See Drafting Equitable Job Qualifications Information Document.

- follow the spirit of the requirements set out in the Academic Staff Posting and Advertising Procedure
- appear simultaneously or later than postings on University of Alberta Careers website.

c. Efforts should be made to advertise in media accessed by persons historically under-represented at the University.

d. The advertisement will normally include a deadline or target date for receipt of applications/nominations and may note that a search may continue past a deadline, until the position is filled.

3. Input from the Community –

a. The University community will be canvassed for their views on:

- The characteristics desirable in the Vice-President being selected

- The skills, competencies, experiences, and credentials

- The priorities of that vice-presidential portfolio;

- Current issues and future directions of the portfolio; and

- Leadership qualities.

- the demographic diversity of the senior administrative team.

b. Input from the University community will include a position description and/or position profile and will normally be sought

- through targeted methods to bring the search to the attention of all **employees** and students and to the extent possible, to the attention of employees historically under-represented at the University
- From employees in the subject Vice-President portfolio.

c. The Advisory Search Committee may also wish to seek input from external communities and to the extent possible, from persons historically under-represented at the University

4. Confidentiality

a. Each Advisory Search Committee may identify certain aspects of their discussions as appropriate for public discussion; however, discussion of candidates is confidential.

5. Considerations

a. At its pre-interview meetings, the Advisory Search Committee will normally consider the following:

i. principles of equity, diversity and inclusion and the University's mission set out in its EDI Strategic Plan

ii. Confidentiality

ii. Handling records and FOIPP-related issues

iii. Procedural matters and Terms of Reference

iv. Attendance

v. The advertisement, position description and profile

vi. Key issues related to the portfolio;

vii. All resumes and applications, with advice on who should be interviewed;

viii. Input from the community and portfolio staff;

ix. Interview process (including fulfilling the University's *Duty to Accommodate procedure*), and

questions.

b. The Committee will establish the required qualifications, skills, abilities, competencies and credentials for the Vice President position in an objective, equitable and inclusive way See Drafting Equitable Job Qualifications Information Document.

c. The Committee should have regard to inclusive and explicit criteria for the Vice President position in reviewing and evaluating applications.

d. The Committee chair should

- ensure the Committee draws upon best practices for ensuring the fair and equitable assessment of candidates

- employs fair, equitable and inclusive indicators for determining the best-qualified candidate

- ensure that Committee evaluations are supported by evidence and that each candidate's strengths and weaknesses are evaluated fairly and consistently.

e. All candidates selected for an interview should be provided with a common set of instructions, including relevant expectations, protocols, and evaluation criteria.
f. The Committee will fulfil the University's duty to accommodate by giving candidates the opportunity to ask for reasonable accommodation during the application and interview process.
g. Where the candidate is from outside the University and is also seeking an academic staff appointment, the Committee shall request that the Faculty Selection Advisory Committee make the recommendation in relation to the academic staff appointment.
h. At each stage of the process, the Committee members should be allocated sufficient time to consider all materials, information, and candidates in a fair and equitable manner.
i. The Committee shall explicitly address any career path choices or interruptions as they might affect the assessment of the candidate.
j. The Committee should ensure, to the extent possible, that shortlisted candidates reflect and exceed the demographic diversity of the University, inclusive of persons historically under-represented at the University.
k. Where candidates are determined to be similarly qualified for a position, the final hiring decision will favour achieving diversity in the workplace and correcting employment disadvantages experienced by persons historically under-represented at the University.

4. RECOMMENDATIONS TO THE PRESIDENT AND THE BOARD

a. Following interviews, the Advisory Search Committee will recommend one or more candidates to the President. The President will choose one candidate from among the names recommended by the Advisory Committee. If none of the candidates are acceptable to the President, the President will return the matter to the Advisory Search Committee.

b. The President, after consultation with the Board Chair and Chair of the Board Human Resources and Compensation Committee (BHRCC), will make a recommendation with respect to the compensation and benefits of the appointment.

c. The President will inform the Board Chair of the name of their selected candidate. The Board Chair, the Chair of BHRCC and the President will then determine whether the candidate's compensation and benefits expectations fall within Board guidelines.

d. The President will present their candidate to the BHRCC which, in turn, will make a recommendation to the Board of Governors. BHRCC will also consider and approve the compensation and benefits for the recommended candidate, subject to approval of the candidate's appointment by the Board of Governors.

e. The Board of Governors has the authority to accept or reject the recommended candidate. If the Board rejects the candidate the matter is returned to the President.

DEFINITIONS

Any definitions listed in the following table apply to this document only with no implied or intended institution-wide use. Refer to Recruitment Policy (Appendix A and Appendix B) for definitions of Staff

Equity Equity is about fairness in access and in the opportunity to succeed in employment. Employment equity principles, policies, and practices enable equitable access, representation, opportunities, and meaningful participation of socially diverse people.

Diversity Diversity refers to difference or variety. In a broad societal EDI context, diversity refers to demographic or identity diversity, including that based on the protected grounds. Within universities, diversity encompasses these, as well as difference or variety in education, perspectives, opinions, heuristics, disciplines, faculties, skills, and learning opportunities. The University of Alberta supports and encourages diversity through the identification and removal of barriers and biases, and the creation of workplaces that are free of harassment and discrimination.

Inclusion Inclusion means that we value and cultivate full and meaningful engagement of historically and structurally excluded individuals and groups. Inclusion refers to enabling all individuals on our campuses to fully enjoy the opportunities the university has to offer, and to have all equity seeking groups meaningfully represented in all aspects of university life and decision-making roles university wide.

Persons historically under-represented Women, Indigenous persons (First Nations, Métis, Inuit), members of visible minority groups, persons with disabilities, persons of any sexual orientation, gender identity or expression.

Protected Grounds Refers to those grounds set out and defined in the *Alberta Human Rights Act* and in the University's *Discrimination, Harrassment and Duty to Accommodate Policy* (UAPPOL) which are: race, religious beliefs, colour, gender, gender identity, gender expression, physical disability, mental disability, age, ancestry, place of origin, marital status, source of income, family statuts, sexual orientation or political beliefs.

University Employment Equity Statement "The University of Alberta is committed to an equitable, diverse, and inclusive workforce. We welcome applications from all qualified persons. We encourage women; First Nations, Métis and Inuit; members of visible minority groups; persons with disabilities; persons of any sexual orientation or gender identity and expression; and all those who may contribute to the further diversification of ideas and the University to apply."

Conflict Conflict of interest, conflict of commitment, or institutional conflict as defined in the University of Alberta Conflict Policy – Conflict of Interest and Commitment and Institutional Conflict Policy

Employee(s) A person employed by the University and defined under Recruitment Policy (Appendix A) Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff or Recruitment Policy (Appendix B) Definition and Categories of Support Staff.

FORMS

There are no forms for this Procedure.

RELATED LINKS

Should a link fail, please contact uappol@ualberta.ca.

Recruitment Policy (Appendix A) *Definition and Categories of Academic Staff,* ~~Administrators and~~ *Postdoctoral Fellows, Academic* Colleagues *and Excluded Academic Staff* (UAPPOL)

Vice-Presidential Search and Review Procedures Appendix A: Committees for Vice-Presidents Position Definitions

and Eligibility (UAPPOL)

Equity, Diversity, and Inclusion: Best Practices in Faculty Recruitment and Hiring

Conflict Policy – Conflict of Interest and Commitment and Institutional Conflict (University of Alberta)

Approval Date: December 11, 2009

Most Recent Editorial Date: May 21, 2014

Parent Policy: Recruitment Policy

Vice-Presidential Review Procedure

Office of Administrative Responsibility: Office of the President

Approver: Board of Governors

Scope:

Compliance with this university policy/procedure extends to all academic and excluded staff, administrators and colleagues as outlined and defined in Recruitment Policy (Appendix A)

Overview

The University of Alberta ("University") is committed to appointing the best-qualified candidates for its Vice President employment opportunities and aspires to achieve an **equitable**, **diverse** and **inclusive** community of quality senior administrators and employees consistent with the mission set out in its Strategic Plan for Equity, Diversity and Inclusivity ("EDI Strategic Plan"). By adopting EDI principles and practices into its Vice President search process, the University hopes to achieve diversity in the workplace and correct employment disadvantages experienced by **persons historically under-represented at the University**, while maintaining the high quality of its senior administration. These principles and practices are designed to ensure that access to the University's employment opportunities is equitable and inclusive by removing employment- related barriers and minimizing biases – particularly those based on **protected grounds**.

Purpose

The purpose of this procedure is to

● establish a Vice President ("VP") Advisory Review Committee ("Committee") and set out the composition of the Committee

● outline the election procedures for the academic staff members to the Committee

● outline the general Vice President review process

● describe how the recommendations to the President and the Board are made and considered.

PROCEDURE

1. REQUEST FOR REVIEW

    a. The Vice-President shall advise the President of their request for consideration of renewal for an additional term. This request shall be received by the President not less than 12 months prior to the end of the incumbent Vice-President's term. Exceptions may be granted at the discretion of the President.

    b. Upon such request the President shall establish a Vice-Presidential Advisory Review Committee in

accordance with the following procedures.

2. COMPOSITION OF VP ADVISORY REVIEW COMMITTEES

a. The rules governing the composition of committees for the following positions are set out in Vice-Presidential Search and Review Procedures Appendix A: Committees for Vice-Presidents Position Definitions and Eligibility.

    i. Provost and Vice-President (Academic).

    ii. Vice-President (University Relations)

    iii. Vice-President (Finance and Administration)

    iv. Vice-President (Facilities and Operations)

    v. Vice-President (Research and Innovation)

    vi. Vice-President (Advancement)

b. The Office of the President is responsible for:

- drawing together the advisory search committee
- to the extent possible, ensuring that committee members reflect broad demographic diversity, inclusive of persons historically under-represented
- ensuring that the committee positions are properly replenished
- making committee members aware of their obligations under applicable University policy, in particular, the *Discrimination, Harassment and Duty to Accommodate Policy*, and the EDI Strategic Plan
- providing committee members with applicable resources, including but not limited to training offered by the Office of Disclosure, Assurance and Institutional Research and Human Resource Services (HRS). Committee members are responsible for awareness of equity, anti-discrimination and bias, and knowledge of relevant policies and procedures.

c. Committee members are responsible for familiarizing themselves with

- the principles of equity, diversity and inclusivity

- concepts of unconscious bias, and discrimination

- the obligations under applicable University policies and statements, in particular, the Discrimination, Harassment and Duty to Accommodate Policy, the University's Employment Equity Statement and the EDI Strategic Plan.

3. ELECTION PROCEDURES FOR MEMBERS OF ADVISORY REVIEW COMMITTEE

a. CALL FOR NOMINATIONS

i. The GFC Secretary or delegate shall notify all employees described in Category A1.0 and D1.2 of the *Recruitment Policy (Appendix A)* Definition and Categories of Academic Staff, PostdoctoralFellows, Academic Colleagues and Excluded Academic Staff ("Academic Staff") that nominations for members of the VP Advisory Search Committee are being sought amongst the Academic Staff, who do not currently hold an administrative position.

ii. This notice or call for nominations, an any other postings and advertisements, should include the following information:

    - The University's Recruitment Policy

- The **University Employment Equity Statement** should be included on all postings and advertisements.
- The date by which nominations must be received by the GFC Secretary or delegate
- Nominees must agree to let their name stand; and
- All nominations must be supported by the signatures of five Academic Staff (as defined in this procedure), not including the nominee.

iii The deadline for submitting nominations to the GFC Secretary or delegate must be at least two weeks after the date on which the GFC Secretary or delegate sent out the call for nominations..

iv. The Secretary of GFC or delegate will ensure, to the extent possible, that nominees reflect and exceed the demographic diversity of the University and my continue the call for nominations and extend the deadline for submitting nominations for this purpose.

b. CONFLICT OF INTEREST

a. All nominees shall complete conflict of interest declarations, and any identified real or perceived **conflicts** of interest must be managed in accordance with the University's *Conflict Policy* and its associated procedures.

b. Where a conflict can be managed, the management of it shall be approved by the GFC Secretary or delegate and the President, in consultation with Faculty Relations.

c. Where a conflict cannot be managed to the satisfaction of the GFC Secretary and President, the nominee may be disqualified and replaced through the nomination process outlined above.

b. ELECTION OF NOMINEES

i. When electing three (3) Academic Staff from Categories A1.1, A1.6 or their counterparts in A1.5 and 1.7:

- If there are between four and seven nominees, one election will be held.

- If there are eight or more nominees, a preliminary election must be held with the six top candidates standing for election in a final ballot.

- In both elections, the three candidates with the highest number of votes will be elected.

ii. When electing one (1) Academic Staff from Category D1.2:

- If there are between two and five nominees, one election will be held.

- If there are six or more nominees, a preliminary election must be held with the top three candidates standing for election in a final ballot.

- In both elections, the candidate with the highest number of votes will be elected.

iii. When electing two (2) Academic Staff from Categories A1.1, A1.6 or their counterparts in A1.5 and A1.7:

- If there are between three and five nominees, one election will be held.

- If there are six or more nominees, a preliminary election must be held with the top four candidates standing for election in a final ballot.

- In both elections, the two candidates with the highest number of votes will be elected.

iv. When electing one (1) Academic Staff from Categories A1.2, A1.3, A1.4 and their counterparts in A1.5:

- If there are between two and five nominees, one election will be held.

- If there are six or more nominees, a preliminary election must be held with the top three

candidates standing for election in a final ballot.

- In both elections the candidate with the highest number of votes will be elected.

c. ELECTORATE

The electorate consists of the elected faculty representatives who sit on GFC on a "representation by population" basis and the appointed academic staff representatives.

d. PREPARATION OF BALLOTS

i. The GFC Secretary (or delegate) will prepare the ballot form with relevant instructions for the election, listing nominees in alphabetical order. Only those eligible voting members will be provided with access to a confidential ballot. At the closure of the election period, the Secretary (or delegate) will ensure that electronic tabulation of the voting ballots occurs, with election results confirmed shortly thereafter.

ii. Candidates for election will be asked to provide a brief biographical and professional description including their experience and training related to equity, diversity and inclusion, not exceeding 150 words, to be circulated with the ballot.

iii. The ballots will be made available by the Secretary (or delegate) and accompanied by clear voting instructions to ensure successful access to the ballot prior to the election voting deadline.

v. Voting instructions will encourage the electorate to consider the value of diversity amongst the Committee members in making their selections.

vii. The date and time by which the ballots must be received by University Governance will be clearly marked on the ballot.

vii. At the close of the election period, the GFC Secretary or delegate will ensure that electronic tabulation of the voting ballots occurs, with the election results confirmed shortly thereafter.

e. THE BALLOT COUNT

i.   The Secretary (or delegate) will ensure the candidates are aware of the election end date and time of ballot tabulation.

ii. At least 50% of ballots must be received before the ballots will be tallied.

iii. Each candidate may name a scrutineer to observe the tabulation of election results.

iv. In the event of a tie vote, a run-off election will be held. In the event of a second tie, the winner will be determined with consideration given to achieving demographic diversity on the committee.

v.After completion of the election, the ballot data is stored by the Secretary (or delegate) for one month and then destroyed.

f. In the event the Committee does not sufficiently reflect the demographic diversity of the University, an additional Committee member may be appointed by the President in consultation with the comprised Committee

3. VICE PRESIDENT REVIEW PROCESS

a. Input from the Community

i The University community will be canvassed for their views on:

- the characteristics desirable in the Vice-President being reviewed,

- the priorities of that vice-presidential portfolio;

- current issues and future directions of the portfolio; and

- leadership qualities.

- consideration of equity and the demographic diversity of the senior administrative team.

ii. Input from the University community will normally be sought through targeted methods to bring the review to the attention of all academic staff, non-academic staff, and students. Staff in the current portfolio will also be asked for their input. When input from the internal community is sought, a position description and/or a position profile will be included.

b. The Advisory Review Committee may also wish to seek input from external communities.

c. Confidentiality – Each Advisory Review Committee may identify certain aspects of their discussions as appropriate for public discussion.

4. RECOMMENDATIONS TO THE PRESIDENT AND THE BOARD

a. The Advisory Review Committee will advise the President as to whether it recommends the incumbent nominee. If a positive recommendation is made by the Advisory Review Committee, the President will communicate this to the Board Chair.

b. The President, after consultation with the Board Chair and Chair of the Board Human Resources and Compensation Committee (BHRCC) Committee, will make a recommendation regarding compensation and benefits with respect to the appointment.

c. The Board Chair, the Chair of BHRCC, and the President will then determine whether the nominee's compensation and benefits expectations fall within the Board guidelines.

d. If the nominee, the President, the Board Chair and the Chair of the BHRCC agree, the President presents his or her nominee to BHRCC who makes a recommendation to the Board of Governors. BHRCC also considers and approves the compensation and benefits, subject to approval of the reappointment by the Board of Governors.

e. The Board has the authority to accept or reject the recommended incumbent. If the Board rejects the incumbent the matter is returned to the President.

DEFINITIONS

Any definitions listed in the following table apply to this document only with no implied or intended institution-wide use. Staff Category A1.0 Refer to Recruitment Policy (Appendix A) for definitions of Staff

Equity Equity is about fairness in access and in the opportunity to succeed in employment. Employment equity principles, policies, and practices enable equitable access, representation, opportunities, and meaningful participation of socially diverse people.

Diversity Diversity refers to difference or variety. In a broad societal EDI context, diversity refers to demographic or identity diversity, including that based on the protected grounds. Within universities, diversity encompasses these, as well as difference or variety in education, perspectives, opinions, heuristics, disciplines, faculties, skills, and learning opportunities. The University of Alberta supports and encourages diversity through the identification and removal of barriers and biases, and the creation of workplaces that are free of harassment and discrimination.

Inclusion Inclusion means that we value and cultivate full and meaningful engagement of historically and structurally excluded individuals and groups. Inclusion refers to enabling all individuals on our campuses to fully

enjoy the opportunities the university has to offer, and to have all equity seeking groups meaningfully represented in all aspects of university life and decision-making roles university wide.

Persons historically under-represented Women, Indigenous persons (First Nations, Métis, Inuit), members of visible minority groups, persons with disabilities, persons of any sexual orientation, gender identity or expression.

Protected Grounds Refers to those grounds set out and defined in the *Alberta Human Rights Act* and in the University's *Discrimination, Harrassment and Duty to Accommodate Policy* (UAPPOL) which are: race, religious beliefs, colour, gender, gender identity, gender expression, physical disability, mental disability, age, ancestry, place of origin, marital status, source of income, family statuts, sexual orientation or political beliefs.

University Employment Equity Statement "The University of Alberta is committed to an equitable, diverse, and inclusive workforce. We welcome applications from all qualified persons. We encourage women; First Nations, Métis and Inuit; members of visible minority groups; persons with disabilities; persons of any sexual orientation or gender identity and expression; and all those who may contribute to the further diversification of ideas and the University to apply."

Conflict Conflict of interest, conflict of commitment, or institutional conflict as defined in the University of Alberta Conflict Policy – Conflict of Interest and Commitment and Institutional Conflict Policy.

FORMS

There are no forms for this Procedure. [▲Top]

RELATED LINKS

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

Recruitment Policy (Appendix A) *Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff* (UAPPOL)

Vice-Presidential Search and Review Procedures Appendix A: Committees for Vice-Presidents Position Definitions and Eligibility (UAPPOL)

Equity, Diversity, and Inclusion: Best Practices in Faculty Recruitment and Hiring

Conflict Policy – Conflict of Interest and Commitment and Institutional Conflict (University of Alberta)

Approval Date: December 11, 2009

Most Recent Editorial Date: January 6, 2014

Parent Policy: Recruitment Policy

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

Vice-Presidential Search and Review Procedures Appendix A: Committees for Vice-Presidents Position Definitions and Eligibility

Office of Administrative Responsibility: Office of the President

Approver: Board Human Resources and Compensation Committee

COMPOSITION OF ADVISORY SEARCH AND REVIEW COMMITTEES FOR VICE- PRESIDENTS:

Refer to the Recruitment Policy (Appendix A) *Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff* for definitions of staff categories.

The composition of the committees will broadly reflect the demographic diversity of the university.

1. PROVOST AND VICE-PRESIDENT (ACADEMIC)

> President as Chair of the Committee
>
> Two members of the Board of Governors appointed by the Board
>
> Three faculty members from Categories A1.1, A1.6, or their counterparts in A1.5 and A1.7(that is, only faculty members employed at the University under the terms and conditions of the Faculty Agreement are eligible),who do not hold administrative positions as defined in Section 7, elected by the faculty and the appointed academic staff representatives on GFC.
>
> One member from Staff Category D1.2
>
> One Dean elected by Deans' Council
>
> One Chair elected by Chairs' Council
>
> One member of the AASUA appointed by the AASUA
> Two members of the Students' Union appointed by the Students' Council
>
> One member of the Graduate Students' Association appointed by the GSA
>
> One member of the Non-Academic Staff Association appointed by NASA
>
> For a list of staff who are not eligible to serve on the advisory search and review committees for Vice-Presidents, please see Section 8.

2. VICE-PRESIDENT (UNIVERSITY RELATIONS)

President as Chair of the Committee

Provost and Vice-President (Academic)

Two members of the Board of Governors appointed by the Board

One member of the Senate appointed by the Senate

President of the Alumni Association

Two faculty members from Categories A1.1, A1.6, or their counterparts in A1.5 and A1.7(that is, only faculty members employed at the University under the terms and conditions of the Faculty Agreement are eligible), who do not hold administrative positions as defined in Section 7, elected by the faculty and the appointed academic staff representatives on GFC.

One member from Staff Category D1.2

Two Deans elected by Deans' Council

One Chair elected by Chairs' Council

One member of the AASUA appointed by the AASUA
One member of the Students' Union appointed by the Students' Council

One member of the Graduate Students' Association appointed by the GSA

One member of the Non-Academic Staff Association appointed by NASA

For a list of staff who are not eligible to serve on the advisory search and review committees for Vice-Presidents, please see Section 8

3. VICE-PRESIDENT (FINANCE AND ADMINISTRATION)

President as Chair of the Committee

Provost and Vice-President (Academic)

Two members of the Board of Governors appointed by the Board

Two faculty members from Categories A1.1, A1.6 or their counterparts in A1.5 and A1.7(that is, only faculty members employed at the University under the terms and conditions of the Faculty Agreement are eligible)

AND one (1) member from Categories A1.2, A1.3, A1.4, and their counterparts in A1.5 none of whom hold administrative positions as defined in Section 7, elected by the faculty and appointed academic staff representatives on GFC.

One member from Staff Category D1.2

One Dean elected by Deans' Council

One Chair elected by Chairs' Council

One member of the AASUA appointed by the AASUA
Two members of the Students' Union appointed by the Students' Council

One member of the Graduate Students' Association appointed by the GSA

One member of the Non-Academic Staff Association appointed by NASA

For a list of staff who are not eligible to serve on the advisory search and review committees for Vice-

Presidents, please see Section 8.

4. VICE-PRESIDENT (FACILITIES AND OPERATIONS)

President as Chair of the Committee

Provost and Vice-President (Academic)

Two members of the Board of Governors appointed by the Board

Two faculty members from Categories A1.1, A1.6, or their counterparts in A1.5 and A1.7(that is, only faculty members employed at the University under the terms and conditions of the Faculty Agreement are eligible),

AND one (1) member from Categories A1.2, A1.3, A1.4 and their counterparts in A1.5none of whom hold administrative positions as defined in Section 7, elected by the faculty and appointed academic staff representatives on GFC

One member from Staff Category D1.2

One Dean elected by Deans' Council

One Chair elected by Chairs' Council

One member of the AASUA appointed by the AASUA
Two members of the Students' Union appointed by the Students' Council

One member of the Graduate Students' Association appointed by the GSA

One member of the Non-Academic Staff Association appointed by NASA

One external representative, with expertise in the area of facilities and/or operations, appointed by the Board in consultation with the President.

For a list of staff who are not eligible to serve on the advisory search and review committees for Vice-Presidents, please see Section 8.

5. VICE-PRESIDENT (RESEARCH AND INNOVATION)

President as Chair of the Committee

Provost and Vice-President (Academic)

Two members of the Board of Governors as appointed by the Board

Three faculty members from Categories A1.1, A1.6, or their counterparts in A1.5 and A1.7(that is, only faculty members employed at the University under the terms and conditions of the Faculty Agreement are eligible),, who do not hold administrative positions as defined in Section 7, elected by the faculty and the appointed academic staff representatives on GFC

One member from Staff Category D1.2

One Dean elected by Deans' Council

One Chair elected by Chairs' Council

One member of the AASUA appointed by the AASUA
Two members of the Students' Union as appointed by the Students' Council

One member of the Graduate Students' Association appointed by the GSA

One member of the Non-Academic Staff Association appointed by NASA

For a list of staff who are not eligible to serve on the advisory search and review committees for Vice-Presidents, please see Section 8.

6. VICE-PRESIDENT (ADVANCEMENT)

President as Chair of the Committee

Provost and Vice-President (Academic)

Two members of the Board of Governors appointed by the Board

One member of the Senate appointed by the Senate

President of the Alumni Association

Two faculty members from Categories A1.1, A1.6, or their counterparts in A1.5 and A1.7(that is, only faculty members employed at the University under the terms and conditions of the Faculty Agreement are eligible), who do not hold administrative positions as defined in Section 7, elected by the faculty and the academic staff representatives on GFC.

One member from Staff Category D1.2

Two Deans elected by Deans' Council

One Chair elected by Chairs' Council

One member of the AASUA appointed by the AASUA
One member of the Students' Union appointed by the Students' Council

One member of the Graduate Students' Association appointed by the GSA

One member of the Non-Academic Staff Association appointed by NASA

For a list of staff who are not eligible to serve on the advisory search and review committees for Vice-Presidents, please see Section 8.

7. Once members have been elected to any of the above-noted Vice-Presidential Advisory Search/Review Committees, the President may in consultation with the Board Chair or Chair of the Board of Human Resources and Compensation Committee (BHRCC) name up to two additional full-time faculty members (Categories A1.1, A1.6) to the Advisory Search/Review Committee to ensure broad representation from the University. In those instances where the committee is not broadly representative of the university community, an additional committee member may be added by the President in consultation with the comprised committee.

8. STAFF WHO ARE NOT ELIGIBLE TO SERVE ON ADVISORY AND REVIEW COMMITTEES FOR VICE-PRESIDENTS

Staff who are on leave are not eligible to serve on advisory search and review committees for Vice-Presidents. The term leave includes: administrative leave, sabbatical, political, medical, parental, childbirth, disability, assisted, secondment.

All nominees shall complete conflict of interest declarations, and any identified real or perceived conflicts of interest must be managed in accordance with relevant university policies. Methods for the management of conflicts of interest shall be approved by the Faculty Relations.

DEFINITIONS

There are no definitions for this Appendix. [▲Top]

RELATED LINKS

Should a link fail, please contact uappol@ualberta.ca. [▲ TOP]

Recruitment Policy (Appendix A) *Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff* (UAPPOL)

Original Approval Date: May 3, 2011 Most Recent Approval Date: April 11, 2016

Most Recent Editorial Date: December 13, 2013

Parent Policy: Recruitment Policy

Faculty Deans Selection Procedure

Office of Administrative Responsibility: Office of the Provost and Vice-President (Academic)

Approver: General Faculties Council Executive Committee

Scope: Compliance with this university policy/procedure extends to all Academic Staff as defined in Recruitment Policy (Appendix A)

Overview

The University of Alberta ("University") is committed to appointing the best-qualified candidates for its decanal employment opportunities and aspires to achieve an **equitable**, **diverse** and **inclusive** community of **quality senior administrators** and **employees** consistent with the mission set out in *its Strategic Plan for Equity, Diversity and Inclusivity* ("EDI Strategic Plan"). By adopting EDI principles and practices into its Faculty Dean search process, the University hopes to achieve diversity in the workplace and correct employment disadvantages experienced by **persons historically under-represented at the University**, while maintaining the high quality of its senior administration. These principles and practices are designed to ensure that access to the University's employment opportunities is equitable and inclusive by removing employment- related barriers and minimizing biases – particularly those based on **protected grounds**.

With respect to the procedures for the selection of Faculty Deans, the Board and GFC delegate their approval authority to the GFC Executive Committee for all matters of a routine editorial nature. For matters of a substantive nature, the GFC Executive Committee shall recommend to the Board Human Resources and Compensation Committee (BHRCC). The Provost and Vice-President (Academic) will determine what is of a routine/editorial or substantive nature.

Purpose

The purpose of this procedure is to

- provide a general outline of the Faculty Dean selection process
- describe the composition of the Dean Selection Committee, how potential conflicts of interest are addressed and the requirements for quorum
- set out the Committee's Dean selection procedures
- describe the Dean appointment process.

PROCEDURE

1. GENERAL OUTLINE OF FACULTY DEAN SELECTION PROCESS

    a. By virtue of the Post-Secondary Learning Act (section 21(1), 83 and 84(1)), the appointment of a Dean is made by the Board of Governors in accordance with procedures approved by General Faculties Council.

    b. These procedures declare that such appointments shall be made by the Board on the

recommendation of the President. The President's recommendation is based on the recommendation of the Committee. The Provost and Vice-President (Academic) is required to present the Committee's selection to the President. The President has the authority to accept or reject the committee's recommendation. If the President accepts, they recommend the appointment to the Board of Governors through the Board Human Resources and Compensation Committee (BHRCC). If the President does not accept the committee's recommendation, they will meet with the committee to explain this decision.

c.   The process of selection or review at the end of a term is initiated by the Provost and Vice-President (Academic) for Deans at least nine (9) months prior to the end of the incumbent's term.

FACULTY DEAN SELECTION COMMITTEE

1.   Committee and its composition

a.   All selections shall be carried out by a duly constituted Faculty Dean Selection Committee ("Committee").

b.   The composition of Dean Selection Committees varies by Faculty. Changes to the composition of individual Faculties' selection committees may be initiated by the Faculty or by the Provost but must be approved by their respective Faculty Councils.

c.   Committee members designated by the President, Provost and Vice-President (Academic) or Vice-President (Research and Innovation), should, to the extent possible, reflect and exceed the demographic diversity of the University community, Overall, the committee composition should be representative of the demographics of the University, inclusive of **persons historically under-represented**.

d.   Overall, the Committee composition should reflect or exceed the demographic diversity of the University, inclusive of **persons historically under-represented.**

e.   Requirements or elements common to the Dean Selection Committees across all Faculties include the following,

- Provost and Vice-President (Academic), or designee, chairs the Committee.
- Vice-President (Research & Innovation), or designee, vice-chair.
- Vice-Provost and Dean of the Faculty of Graduate Studies and Research, or designee
- Faculty members
- Students
- Staff
- Representation from General Faculties Council.

f.   The Provost and Vice-President (Academic) shall establish guidelines for Dean Selection Committees. A Dean Selection Committee is charged with obtaining the best-qualified person available for the position and contributing to the University's goal of achieving an equitable, diverse and inclusive community of quality senior administrators.

g.   The Selection Committee chair is responsible for

- making Committee members aware of their obligations under applicable University policy, in particular, the *Discrimination, Harassment and Duty to Accommodate Policy*, the University's *Employment Equity Statement* and the EDI Strategic Plan and documenting and confirming these efforts
- providing Committee members with applicable resources, including but not limited to, training offered by the Office of Disclosure, Assurance and Institutional Research and Human Resource Services (HRS).

h.   Committee members are responsible for familiarizing themselves with the principles of equity, diversity and inclusivity concepts of unconscious bias and discrimination the obligations under

applicable University policies, in particular, the *Discrimination, Harassment and Duty to Accommodate Policy*, the University's *Employment Equity Statement* and the EDI Strategic Plan.

    i.   Once the Committee has been established, with all members elected or designated, the Provost and Vice-President (Academic) will consult with the President on the composition of the Committee. The President may, in consultation with the Chair or Vice-Chair of the GFC Nominating Committee, name up to two additional members to the Committee to ensure broad representation and, to the extent possible, reflect and exceed the demographic diversity of the University.

2. Conflict of Interest
   a. Notwithstanding the above, an incumbent shall not be eligible to vote in the election of Committee members.
   b. In no instance shall the membership of a selection committee include
      - a current candidate for the office
      - the outgoing Dean
      - any person with an apparent conflict of interest as determined by the Provost and Vice-President (Academic).
   c. All committee members shall complete conflict of interest declarations, and any identified **conflict** of interest must be managed in accord with University's Conflict Policy and its associated procedures.
   d. The Provost and Vice-President (Academic) in consultation with Faculty Relations shall determine whether a conflict can be managed.
   e. Where a conflict can be managed, the management of it shall be approved by the Provost and Vice-President (Academic) in consultation with Faculty Relations.
   f. Where a conflict cannot be managed to the satisfaction of the Provost and Vice-President (Academic), a committee member may be dismissed and replaced through the selection processes outlined above.

3. Quorum
   a. At any meeting of a selection committee for Dean where a final decision is made, at least one (1) of the two (2) Vice-Presidential members must be present, Provost and Vice-President (Academic) or Vice-President (Research and Innovation), and no more than two (2) of the other members shall be absent.
   b. To participate in a final decision and ensure fairness, Committee members must have been present at all sessions where all candidates were considered.

DEAN SELECTION PROCEDURES

    1. General Case

Soliciting applicants

    a. The Committee shall invite suggestions concerning possible candidates from the members of the faculty concerned and encourage the nomination of persons historically under-represented at the University and Faculty.

    b. In addition to accepting applications from qualified candidates a selection committee may actively solicit applications from apparently qualified persons including persons historically under-represented at the University.

    c. The committee is responsible to ensure, to the extent possible, that the applicant pool reflects and exceeds the demographic diversity of the University inclusive of persons historically under-represented at the University and may continue the solicitation of applications and extend any applicable deadline for submitting applications for this purpose.

Advertisement

d. All vacancies must be advertised within the University, in accordance with the University's *Academic Staff Posting and Advertising Procedure*.

e. Advertisements will appear simultaneously or later than postings on University of Alberta Careers website.

f. If a vacancy may be filled by an appointee from outside the University, then the vacancy must be advertised widely outside the University, including in media accessed by persons historically under-represented at the University.

Evaluation of qualifications and selection of candidate

g. The Committee may consult with the incumbent Dean of the Faculty and/or other source in the subject Faculty where it requires additional information concerning the duties, functions, responsibilities, authorities, *et ceter*a of the Dean position in question.

h. The Committee will establish the required qualifications, skills, abilities, competencies and credentials for the Dean position in an objective, equitable and inclusive way.

i. The Committee should have regard to inclusive and explicit criteria for the Dean position in reviewing and evaluating applications.

j. The Committee chair should

- Ensure the Committee draws upon best practices for ensuring the fair and equitable assessment of candidates
- Employs fair, equitable and inclusive indicators for determining the best-qualified candidate
- Ensure that Committee evaluations are supported by evidence and that each candidate's strengths and weaknesses are evaluated fairly and consistently.

h.k. All candidates selected for an interview should be provided with a common set of instructions, including relevant expectations, protocols, and evaluation criteria.

i.l. The committee will fulfil the university's duty to accommodate by giving candidates the opportunity to ask for reasonable accommodation during the application and interview process.

j.m. Where the candidate is from outside the University, the Committee shall also serve as the Faculty Selection Advisory Committee in relation to the academic staff appointment.

k.n. If the incumbent is a candidate, past performance must be considered by the Committee.

l.o. The committee shall explicitly address any career path choices or interruptions as they might affect the assessment of the candidate.

m.p. At each stage of the selection process the committee members should be allocated sufficient time to consider all materials, information, and candidates in a fair and equitable manner.

q. The Committee should ensure, to the extent possible, that shortlisted candidates reflect and exceed the demographic diversity of the University, inclusive of persons historically under-represented at the University.

n.r. Where candidates are determined to be similarly qualified for the Dean position, the final selection/recommendation decision will favour achieving diversity in the workplace and correcting employment disadvantages experienced by persons historically under-represented at the University.

o.s. When the selection committee has reached a decision on the candidate, the Provost is required to present the committee's selection to the University President.

2. Special Cases for Selection Procedures

Engineering Deans

a. The selection committee shall recommend (1) candidate as the proposed Dean.
The full-time academic staff of the Faculty shall, by a simple majority vote, indicate

acceptance or rejection of the committee's recommendation. The ballot paper shall read:

I accept the selection committee's recommendation for Dean

I reject the selection committee's recommendation for Dean

b. In the event of rejection, the committee shall recommend another candidate.
c. The vote, by secret ballot, shall be conducted by the selection committee in accordance with the procedures laid down by the Faculty of Engineering.
d. The Provost and Vice-President (Academic), as Chair of the selection committee, shall make the vote known to the successful candidate, including abstentions

DEAN APPOINTMENT PROCESS

a. If the conditions of employment and criteria for future evaluation of the person selected differ from statutory duties or standard expectations, these must be specified fully at the time of appointment.
b. Acceptance of an appointment is taken as indicating acceptance of the procedures and criteria to be used at the end of the term. The letter of appointment is binding on both the Board and the person being appointed.
c. The term of office shall not exceed five (5) years. The letter of appointment must specify whether reappointment is to be by Selection or Review as set out in the Dean's Review Procedure.
d. A new Dean will be appointed for an initial term through a Selection procedure. Should the incumbent seek renewal for a second term, review procedures will be employed. A Dean will normally serve no more than two terms.
e. A Dean will normally serve no more than two terms. Any exception to the two-term limit will be based on a recommendation from the Provost and Vice-President (Academic) to the President, who will make the final decision. In instances where the President decides that a third term may be sought, review procedures will be employed. Under no circumstances will a Dean serve more than three terms.

DEFINITIONS

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

Equity Equity is about fairness in access and in the opportunity to succeed in employment. Employment equity principles, policies, and practices enable equitable access, representation, opportunities, and meaningful participation of socially diverse people.

Diversity Diversity refers to difference or variety. In a broad societal EDI context, diversity refers to demographic or identity diversity, including that based on the protected grounds. Within universities, diversity encompasses these, as well as difference or variety in education, perspectives, opinions, heuristics, disciplines, faculties, skills, and learning opportunities. The University of Alberta supports and encourages diversity through the identification and removal of barriers and biases, and the creation of workplaces that are free of harassment and discrimination.

Inclusion Inclusion means that we value and cultivate full and meaningful engagement of historically and structurally excluded individuals and groups. Inclusion refers to enabling all individuals on our campuses to fully enjoy the opportunities the university has to offer, and to have all equity seeking groups meaningfully represented in all aspects of university life and decision-making roles university wide.

Senior Administrators President, Vice-Presidents, Associate Vice-Presidents, Vice-Provosts, Deans, Directors and

Chairs.

Employee(s) A person employed by the University and defined under *Recruitment Policy (Appendix A) Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff or Recruitment Policy (Appendix B) Definition and Categories of Support Staff.*

 Persons historically under-represented Women, Indigenous persons (First Nations, Métis, Inuit), members of visible minority groups, persons with disabilities, persons of any sexual orientation, gender identity or expression.

Protected Grounds Refers to those grounds set out and defined in the *Alberta Human Rights Act* and in the University's *Discrimination, Harrassment and Duty to Accommodate Policy* (UAPPOL) which are: race, religious beliefs, colour, gender, gender identity, gender expression, physical disability, mental disability, age, ancestry, place of origin, marital status, source of income, family statuts, sexual orientation or political beliefs.

Faculty Member "Faculty Member" means a full-time faculty member (from Category A1.1 or A1.6) who is employed at the University under the terms and conditions of the Board/AASUA Agreement, Schedule A – Academic Faculty Members.

Student "Student" means any student enrolled at the University of Alberta, either full-time or part-time. The term "student" may be preceded by "undergraduate" or "graduate" or "full-time" for clarification.

Staff Support Staff who are represented by and pay dues to the Non-Academic Staff Association (NASA) and who are employed by the University of Alberta. Category A1.1 or A1.6 See Recruitment Policy (Appendix A) *Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff*

Conflict Conflict of interest, conflict of commitment, or institutional conflict as defined in the University of Alberta Conflict Policy – Conflict of Interest and Commitment and Institutional Conflict Policy

Person "Person" means any individual selected or elected by the particular group or body referred to and may include faculty members, students, other employees of the University, or persons who are neither students nor employees of the University.

RELATED LINKS

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

Access to Information and Protection of Privacy Policy (UAPPOL)

Recruitment Policy (Appendix A) *Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff* (UAPPOL)

Recruitment Policy (Appendix B) Definition and Categories of Support Staff (UAPPOL)

Faculty Deans Review Procedure (UAPPOL)

Faculty Deans Selection Procedure Appendix A Dean Selection Committees for Individual Faculties (UAPPOL)

Equity, Diversity, and Inclusion: Best Practices in Faculty Recruitment and Hiring

Approval Date: February 6, 2012 **Most Recent Approval Date: June 27, 2019**

Most Recent Editorial Date: July 29, 2019

Parent Policy: Recruitment Policy

Department Chairs Selection Procedure

Office of Administrative Responsibility: Office of the Provost and Vice-President (Academic)

Approver: General Faculties Council Executive Committee

Scope: Compliance with this university policy/procedure extends to all Academic Staff, Administrators and Colleagues; as outlined and defined in Recruitment Policy (Appendix A)

Overview

The University of Alberta ("University") is committed to appointing the best-qualified candidates for its Department Chair ("Chair") employment opportunities and aspires to achieve an **equitable**, **diverse** and **inclusive** community of **quality senior administrators** and **employees** consistent with the mission set out in *its Strategic Plan for Equity, Diversity and Inclusivity* ("EDI Strategic Plan"). By adopting EDI principles and practices into its Department Chair search process, the University hopes to achieve diversity in the workplace and correct employment disadvantages experienced by **persons historically under-represented at the University**, while maintaining the high quality of its senior administration. These principles and practices are designed to ensure that access to the University's employment opportunities is equitable and inclusive by removing employment- related barriers and minimizing biases – particularly those based on **protected grounds**.

With respect to the procedures for the selection of Department Chairs, the Board and GFC delegate their approval authority to the GFC Executive Committee for all matters of a routine editorial nature. For matters of a substantive nature, the GFC Executive Committee shall recommend to the Board Human Resources and Compensation Committee (BHRCC). The Provost and Vice-President (Academic) will determine what is of a routine/editorial or substantive nature.

Purpose

The purpose of this procedure is to

- provide a general outline of the Chair selection process
- describe the composition of the Chair Selection Committee, how potential conflicts of interest are addressed and the requirements for quorum
- set out the Committee's Chair selection procedures.

PROCEDURE

1. GENERAL OUTLINE OF CHAIR SELECTION PROCESS

   a. Where a Faculty is divided into Departments, for each Department there shall be appointed a Department Chair whose roles and responsibilities are outlined in the Department Chair Selection Procedure (Appendix A) Chair's Roles and Responsibilities.

   b. For Department Chairs, selection procedures (rather than review procedures) will be used in all cases unless a Faculty Council has adopted regulations that review or other procedures be used in that Faculty and such regulations have been approved by GFC. Notwithstanding the two basic procedures - selection and review - a certain amount of flexibility may also be permitted. For example, a Faculty may propose using selection procedures in some cases and review in others. Some Faculty Councils have adopted an

alternate procedure, approved by GFC, whereby Department Chairs are appointed for an initial term with consideration of renewal by review for one additional term before search and selection procedures are invoked. This is the case in the following Faculties:

i. Faculty of Agricultural, Life and Environmental Sciences

ii. Faculty of Arts

iii. Faculty of Education

iv. Faculty of Medicine and Dentistry

v. Faculty of Rehabilitation Medicine

c.   Additionally, faculties should review the demographic diversity of their entire group of chairs regularly to assess equity and inclusion. When necessary, they should take proactive measures in chair selection to ensure that overall, the composition of the entire group of chairs is inclusive of persons historically under-represented. Such measures should be designed in consultation with the Provost and Vice-President (Academic) and General Counsel and should be consistent with this Policy and its associated Procedures.

c.d. The letter of appointment must specify whether reappointment is to be by selection or review. The conditions of employment and criteria for future evaluation of the person selected must be specified fully at the time of the appointment if these differ from statutory duties or standard expectations. Acceptance of an appointment is taken as indicating acceptance of the procedures and criteria to be used at the end of the term. The letter of appointment is binding on both the Board and the person being appointed.

d.e. The term of office for a Department Chair will not exceed five (5) years.

e.f. The process of selection or review at the end of a term is initiated by the Dean of the Faculty concerned. The process must be initiated at least six (6) months prior to the end of the incumbent's term.

2. THE CHAIR SELECTION COMMITTEE

General Composition of Selection Committees

a. The selection committee will normally consist of the following voting members:
    - Dean of the Faculty concerned, or designee, Chair.
    - Dean of the Faculty of Graduate Studies and Research, or designee.
    - Provost and Vice-President (Academic), or designee.

b. Three (3) faculty members from the Department concerned, elected by the faculty members of the Department.
    i.   In practice, among the departmental electorate there will be both declared and undeclared candidates for the Chair's position at the time of the election. Declared candidates may not be elected as departmental representatives; however, these faculty members should be included in the electorate. The actual election could be conducted by one of the following methods:

    - The Dean of the Faculty or designee convenes and chairs a special departmental meeting.

    - The Dean arranges for a secret electronic ballot.

    - The Dean approves election procedures proposed by the Department.

    ii.   No faculty member of the Department in question should be excluded from voting in this election, whether they have a full or part-time appointment.

    iii.ii.   Faculty members cannot serve as representatives on selection and review committees for Department Chairs if they are on leave during the time the committee will meet.

c. One (1) faculty member, normally not a member of the Faculty of which the Department concerned is a part, will be selected from a panel which will consist of fifteen (15) members from Categories A1.1, A1.6, or their counterparts in A1.5 and A1.7, who shall be elected by GFC.
    i.   Membership on the panel shall be for three years staggered. (The first such panel under this clause

shall consist of five members with a one-year term, five members with a two-year term, and five members with a three-year term.)

    ii.   The Chair of a Selection Committee shall notify the Office of the Provost and Vice-President (Academic) when a Selection Committee is being formed and the Office of the Provost and Vice-President (Academic) shall then notify the Chair of the Selection Committee which member of the panel will be serving on the Selection Committee.

    iii.   The Office of the Provost and Vice-President (Academic) will designate the member of the panel for a particular Selection Committee after consultation with the Chair of the GFC Nominating Committee. Committee members designated by the Provost and Vice-President (Academic) should, to the extent possible, take into account the need for the Selection Committee to be inclusive of persons historically under-represented.

    iv.   Determination of the staff member to serve on a particular Selection Committee shall be by rotation with the proviso that a member who has a conflict of interest may decline to serve on a particular committee.

    v.   If a Selection Committee has not completed its activities when the term of a GFC-elected representative on the panel finishes, that individual shall continue to be the GFC representative on that Committee until the selection procedure is complete.

d.   One (1) full-time member of the support staff (Category S1.0 and S2.0) from the Department concerned

    i.   The support staff Committee member shall be elected by the full-time support staff (Category S1.0 and S2.0) in that Department.

    ii.   The Dean's Office shall be responsible for directing the election of any support staff member serving on the selection committee.

e.   Undergraduate student

    i.   All Departments that enroll undergraduate students must include one undergraduate student on their Department Chair Selection Committees, as selected by the appropriate Department Student Association using whatever method the Association deems suitable.

    ii.   If the Department Student Association does not exist, then the appropriate Faculty Student Association will be responsible for selecting the undergraduate student from the Department.

    iii.   Once selected, the name and contact information of the student representative must be forwarded by the appropriate Department or Faculty Student Association to the Department Office, and the Students' Union.

    iv.   If the Department Student Association (or the student Faculty Association) is unable to find an undergraduate student, the Students' Union will be responsible for the selection of the undergraduate representative from the Department.

f.   Graduate student

    i.   All Departments that enroll graduate students must include a graduate student on their Department Chair Selection Committee, as selected by the Department Graduate Student Association by whatever means the Association deems suitable.

    ii.   Once a student is selected, the name and contact information of that student must be forwarded to the Department Office and Graduate Students' Association.

    iii.   If the Department Graduate Student Association is unable to find a graduate student, or if there is no Department Graduate Student Association, then the Graduate Students' Association will be responsible for the selection of the graduate student representative from the Department.

    iv.   If the Department enrolls fewer than ten (10) graduate students, the department may request permission to waive graduate student representation from the Provost and Vice-President (Academic).

g.   For members designated by a Dean or by the Provost and Vice-President (Academic), such designations should, to the extent possible, reflect and exceed the demographic diversity of the department and field, inclusive of **persons historically under-represented**.

h. The Provost and Vice-President (Academic) may approve exceptions to this procedure and may consult with the GFC Executive.

Special Cases for General Composition of Selection Committee

a. Faculty of Medicine and Dentistry

Instead of the three (3) faculty members described in 2.a.iv., the selection committees in the Faculty of Medicine and Dentistry will normally consists of the following voting members:

i. Three (3) full-time Academic Staff members (A1.0) or full-time Management and Professional Staff (Excluded) (D1.2) from the Department. At least two (2) must be from the Academic Faculty (A1.1 and/or A1.6). Of note, part-time Academic Faculty members from the Department (members from categories A1.5 and A1.7) are eligible to elect to, but not sit on the Chair Search Committee.

ii. In addition, Selection Committees in the Faculty of Medicine and Dentistry will normally include the following:

a. In clinical departments: Two (2) Academic Colleagues from the categories of Special "Continuing" (C1.1) and/or Clinical Academic Colleague (C1.2) from the department elected by these groups.

b. In clinical departments: One Resident, if the Department has five (5) or more residents elected by the residents in the department.

c. In departments with ten (10) or more Academic Teaching Staff Career Status, Academic Teaching Staff Term 12, and/or Trust/Research Academic Staff (A3.1): up to two (2) full-time academic staff members elected from and by these groups. For departments with less than ten (10) members in these categories, one (1) member elected from and by these groups.

d. One (1) member of the Faculty Learning Committee (FLC) as selected by the Chair of FLC.

e. The Alberta Health Services Edmonton Zone Medical Director unless the Dean, in discussion with the Edmonton Zone Medical Director, accepts a delegate. If a concurrent selection process is occurring as per 3.b.ii, below, this position will remain vacant.

b. Faculty of Engineering

i. Only selection committees are formed at the end of an incumbent's term.

ii. The term of a Department Chair shall be five years and at the end of that term the office is considered to be vacant.

iii. There shall be the addition of one (1) faculty member elected by Engineering Faculty Council from another Department within the Faculty.

iv. There shall be one (1) undergraduate student member, chosen by and from the undergraduate students of the Department concerned, and one (1) graduate student member, chosen by and from the graduate students of the Department concerned.

v. The Provost and Vice-President (Academic) shall not be a member.

c. Department of Psychology (Faculty of Arts)

i. Both the Dean of Arts and the Dean of Science shall serve on the Selection Committee for the Chair of the Department of Psychology, with the Dean of Arts in the Chair.

d. Small Departments

i. For Departments with fewer than six (6) faculty members, two (2) of the three (3) committee members referred to in 2(b) above will be replaced by two (2) faculty members elected by the faculty members elected by the Faculty Council concerned.

ii. For Departments with six (6) to ten (10) faculty members, inclusive, one (1) of the three (3) committee members referred to in 2(b) above will be replaced by one (1) faculty member

elected by the Faculty Council concerned.

    iii.   The slate of candidates put forward to Faculty Council should, to the extent possible, reflect and exceed the demographic diversity of the department and field, inclusive of persons historically under-represented.

  e. Department of Biomedical Engineering

    i.   The Provost and Vice-President (Academic) or designee shall be a member.

    ii.   The Committee shall contain the Dean of the Faculty of Medicine and Dentistry and the Dean of the Faculty of Engineering or their designees.

    iii.   The Committee shall be chaired by the Dean or designee of one Faculty decided by mutual agreement between the Deans of the Faculties, or in the event of no agreement, by the Provost and Vice-President (Academic) or designee.

    iv.   The selection of faculty members from the Department must be such that at least one Full-time Member shall be from the Faculty of Medicine and Dentistry and one from the Faculty of Engineering or, if this is not possible, from Part-time or Cross Members.

    v.   The selection of Members shall, to the extent possible, seek to ensure that the Committee composition reflects or exceeds the demographic diversity of the department and field, inclusive of persons historically under-represented.

Changes in Committee Composition

  a. In the event that the majority of the statutory members of a selection committee, or the Dean, is of the opinion that divisions within the Department are such that the normal composition of the committee is inappropriate, the statutory members, or the Dean, shall recommend to the Provost and Vice-President (Academic) that a committee with a different composition be established. The Provost and Vice-President (Academic) is authorized to establish a revised composition of the committee, bearing in mind the principles underlying the normal composition.

Responsibilities of Committee members

  a. The Selection Committee chair is responsible for

- making Committee members aware of their obligations under applicable University policy, in particular, the *Discrimination, Harassment and Duty to Accommodate Policy*, the University's *Employment Equity Statement* and the EDI Strategic Plan and documenting and confirming these efforts
- providing Committee members with applicable resources, including but not limited to, training offered by the Office of Disclosure, Assurance and Institutional Research and Human Resource Services (HRS).

  b. Committee members are responsible for familiarizing themselves with the principles of equity, diversity and inclusivity concepts of unconscious bias and discrimination the obligations under applicable University policies, in particular, the *Discrimination, Harassment and Duty to Accommodate Policy*, the University's *Employment Equity Statement* and the EDI Strategic Plan.

Conflict of Interest

  a. Notwithstanding the above, an incumbent shall not be eligible to vote in the election of Committee members.

  b. In no instance shall the membership of a selection committee include

- a current candidate for the position of Chair
- the outgoing Chair
- any person with an apparent conflict of interest as determined by the Provost and Vice-President (Academic).

  c. All committee members shall complete conflict of interest declarations, and any identified **conflict**

of interest must be managed in accord with University's Conflict Policy and its associated procedures.

d. The Provost and Vice-President (Academic) in consultation with Faculty Relations shall determine whether a conflict can be managed.

e. Where a conflict can be managed, the management of it shall be approved by the Provost and Vice-President (Academic) in consultation with Faculty Relations.

f. Where a conflict cannot be managed to the satisfaction of the Provost and Vice-President (Academic), a committee member may be dismissed and replaced through the selection processes outlined above.

Quorum

a. No more than one (1) member of a selection committee for Department Chair can be absent from any meeting at which a final decision is made.

b. To participate in a final decision and ensure fairness, Committee members must have been present at all sessions where all candidates were considered.

3. CHAIR SELECTION PROCEDURES

1. General Selection Procedure

Soliciting applicants

a. The Committee shall invite suggestions concerning possible candidates from the members of the faculty concerned and encourage the nomination of persons historically under-represented at the University and Faculty.

b. In addition to accepting applications from qualified candidates a selection committee may actively solicit applications from apparently qualified persons including persons historically under-represented at the University.

b.c. The Committee should ensure, to the extent possible, that the applicant pool reflects and exceeds the demographic diversity of the department and field inclusive of persons historically under-represented at the University and may continue the solicitation of applications and extend any applicable deadline for submitting applications for this purpose.

Advertisement

d. All vacancies must be advertised within the University.

e. Advertisements will appear simultaneously or later than postings on University of Alberta Careers website.

f. If a vacancy could, potentially, be filled by an appointee from outside the University, then the vacancy must be advertised in accordance with the *Academic Staff Posting Procedure*, including media accessed by persons historically under-represented at the University.

Evaluation of qualifications and selection of candidate

e.g. The Committee may consult with the incumbent Chair and/or other sources in the Department where it requires additional information concerning the duties, responsibilities, authorities, *et cetera* of the Department Chair position in question.

h. The Committee will establish the required qualifications, skills, abilities, competencies and credentials for the Chair position in an objective, equitable and inclusive way.

i. The Committee should have regard to inclusive and explicit criteria for the Chair position in reviewing and evaluating applications.

j. The Committee chair should
- Ensure the Committee draws upon best practices for ensuring the fair and equitable assessment of candidates

- Employs fair, equitable and inclusive indicators for determining the best-qualified candidate
- Ensure that Committee evaluations are supported by evidence and that each candidate's strengths and weaknesses are evaluated fairly and consistently.

k. All candidates selected for an interview should be provided with a common set of instructions, including relevant expectations, protocols, and evaluation criteria.

l. The committee will fulfil the university's duty to accommodate by giving candidates the opportunity to ask for reasonable accommodation during the application and interview process.

m. Where the candidate is from outside the University, the Committee shall also serve as established for the administrative position of Department Chair shall serve as both the selection committee in relation to the administrative appointment and the advisory selection committee in relation to the academic staff appointment.

~~d.~~n. If the incumbent is a candidate, past performance must be considered by the Committee.

o. The committee shall explicitly address any career path choices or interruptions as they might affect the assessment of the candidate.

p. At each stage of the selection process the committee members should be allocated sufficient time to consider all materials, information, and candidates in a fair and equitable manner.

q. The Committee should ensure, to the extent possible, that shortlisted candidates reflect and exceed the demographic diversity of the department and field, inclusive of persons historically under-represented at the University.

r. Where candidates are determined to be similarly qualified for the Chair position, the final selection/recommendation decision will favour achieving diversity in the workplace and correcting employment disadvantages experienced by persons historically under-represented at the University.

~~e.~~s. When the selection committee has made its decision, the Dean of the Faculty has the authority to accept or reject the committee's recommendation. If the Dean accepts the recommendation, the Dean offers the appointment to the candidate and, following the candidate's acceptance, advises the Provost and Vice-President (Academic). The Provost and Vice-President (Academic) formally advises the candidate on behalf of the University.

~~f.~~t. If the Dean of the Faculty doesn't accept the committee's recommendation, the Dean will explain their reasons to the committee and the committee will then discuss whether another candidate should go forward, or whether to terminate the search and begin again.

2. Special Cases for Selection Procedures

    a. Engineering Chairs

      i. The selection committee shall recommend one (1) candidate as the proposed Chair.

      ii. The full-time academic staff of the Department concerned shall, by a simple majority vote, indicate acceptance or rejection of the committee's recommendation. The ballot paper shall read:

        I accept the selection committee's recommendation for Chair.

        I reject the selection committee's recommendation for Chair.

      iii. In the event of rejection the committee shall recommend another candidate.

      iv. The vote, by secret ballot, shall be conducted by the selection committee in accordance with the procedures laid down by the Faculty of Engineering.

      v. The Dean, as Chair of the selection committee, shall make the vote known to the successful candidate, including abstentions.

b. Faculty of Medicine and Dentistry

    i. For clinical academic Departments where it is possible that the Academic Chair and the Zone Clinical Department Head (Alberta Health Services (AHS)) could be the same individual, a concurrent committee (led by AHS) will be formed, that will meet, shortlist, and interview jointly with the University's selection committee.

    ii. The final vote will be a preferential ballot with University of Alberta and AHS votes counted separately. The total University of Alberta vote represents the committee's recommendation for Academic Chair to the Dean. The total AHS vote represents the AHS committee's recommendation for Zone Clinical Department Head to the Zone Medical Director. The Dean and the Zone Medical Director will then discuss whether or not to offer both roles concurrently to one candidate.

DEFINITIONS

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

Equity Equity is about fairness in access and in the opportunity to succeed in employment. Employment equity principles, policies, and practices enable equitable access, representation, opportunities, and meaningful participation of socially diverse people.

Diversity Diversity refers to difference or variety. In a broad societal EDI context, diversity refers to demographic or identity diversity, including that based on the protected grounds. Within universities, diversity encompasses these, as well as difference or variety in education, perspectives, opinions, heuristics, disciplines, faculties, skills, and learning opportunities. The University of Alberta supports and encourages diversity through the identification and removal of barriers and biases, and the creation of workplaces that are free of harassment and discrimination.

Inclusion Inclusion means that we value and cultivate full and meaningful engagement of historically and structurally excluded individuals and groups. Inclusion refers to enabling all individuals on our campuses to fully enjoy the opportunities the university has to offer, and to have all equity seeking groups meaningfully represented in all aspects of university life and decision-making roles university wide.

Senior Administrators President, Vice-Presidents, Associate Vice-Presidents, Vice-Provosts, Deans, Directors and Chairs.

Employee(s) A person employed by the University and defined under *Recruitment Policy (Appendix A) Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff or Recruitment Policy (Appendix B) Definition and Categories of Support Staff.*

Persons historically under-represented Women, Indigenous persons (First Nations, Métis, Inuit), members of visible minority groups, persons with disabilities, persons of any sexual orientation, gender identity or expression.

Protected Grounds Refers to those grounds set out and defined in the *Alberta Human Rights Act* and in the University's *Discrimination, Harrassment and Duty to Accommodate Policy* (UAPPOL) which are: race, religious beliefs, colour, gender, gender identity, gender expression, physical disability, mental disability, age, ancestry, place of origin, marital status, source of income, family statuts, sexual orientation or political beliefs.

Conflict Conflict of interest, conflict of commitment, or institutional conflict as defined in the University of Alberta Conflict Policy – Conflict of Interest and Commitment and Institutional Conflict Policy

Faculty Members A faculty member means a full-time faculty member (from Category A1.1 or A1.6) who is employed at the University under the terms and conditions of the Board/AASUA Agreement – Faculty. Categories A1.1, A1.6, or their counterparts in A1.5 or A1.7. See Recruitment Policy (Appendix A) *Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff*

FORMS

There are no forms for this Procedure. [▲Top]

RELATED LINKS

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

Academic Staff Posting and Advertising Procedure

Appointment of Faculty Procedure (UAPPOL)

Department Chairs Selection Procedure (Appendix B) Terms and Conditions for Department Chairs (UAPPOL)

Recruitment Policy (Appendix A) *Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff* (UAPPOL)

Recruitment Policy (Appendix B) Definition and Categories of Support Staff (UAPPOL)

Selection of Department Chairs Procedure (Appendix A): Roles and Responsibilities (UAPPOL)

Equity, Diversity, and Inclusion: Best Practices in Faculty Recruitment and Hiring

Approval Date: December 11, 2009

Most Recent Editorial Date: July 27, 2016

Parent Policy: Recruitment Policy

Department Chairs Review Procedure

Office of Administrative Responsibility: Office of the Provost and Vice-President (Academic)

Approver: General Faculties Council Executive Committee

Scope: Compliance with this university policy/procedure extends to all Academic Staff, Administrators and Colleagues; as outlined and defined in Recruitment Policy (Appendix A)

Overview

With respect to the procedures for the review of Department Chairs, the Board and GFC delegate their approval authority to the GFC Executive Committee for all matters of a routine editorial nature. For matters of a substantive nature, the GFC Executive Committee shall recommend to the Board Human Resources and Compensation Committee (BHRCC). The Provost and Vice-President (Academic) will determine what is of a routine/editorial or substantive nature.

Purpose

To detail the procedure for the review of Department Chairs.

PROCEDURE

In accordance with the Department Chair Selection Procedure, review procedures will be used instead of selection procedures in the following instances: first, at the end of a term; second, when a Faculty Council has adopted regulations that review procedures will be used in that Faculty and such regulations have been approved by GFC. A certain amount of flexibility may also be permitted. For example, a Faculty may propose to the Dean for approval the use of selection or review procedures [in some cases and review in others]. As well, alternate procedures have been adopted by Faculty Councils and approved by GFC.

1. INSTIGATION OF REVIEWS

Review may come about in three (3) ways:

a. In anticipation of an end of term if provided for in the terms of appointment. (Such a review should serve two purposes. The first is the traditional one of determining if an appointment is to be renewed. The second is to provide an opportunity for an incumbent to obtain an objective and helpful assessment, which may not be available by other means.)

The term of office for a Department Chair shall not exceed five (5) years.

In accordance with the Department Chair Selection Procedure, review procedures will only be used instead of selection procedures at the end of a term when a Faculty Council has adopted regulations that review procedures will be used in that Faculty and such regulations have been approved by GFC. A certain amount of flexibility may also be

permitted. For example, a Faculty may propose using selection procedures in some cases and review in others. Alternate procedures have been adopted by Faculty Councils and approved by GFC.

The process of review in anticipation of the end of a term is initiated by the Dean of the Faculty concerned. The process must be initiated at least six (6) months prior to the end of the incumbent's term. If a review is carried out, the decision must be reached no later than two months after the formation of the committee.

b. During the term at the joint initiative of the Provost and Vice-President (Academic) and Dean of the Faculty.

c. During the term by petition, as follows:

> i. Petitions for review of Department Chairs shall be submitted to the Dean.

> ii. Where the petition is signed by a majority of faculty members in the Department, the Dean must establish the appropriate review committee.

> iii. Where the petition is not signed by a majority of faculty members in the Department, the Dean shall decide in conjunction with the Provost and Vice-President (Academic) whether or not a review committee shall be established.

2. CONTINUING APPOINTMENTS

> In the case of those officers whose appointments were made prior to the development of these procedures and whose appointments as officers are on a continuous basis, performance review procedures will be used and such reviews will be carried out every five (5) years.

3. PERFORMANCE EVALUATIONS

> The specifics of evaluating performance of an incumbent Chair with a view to reappointment fall within the jurisdiction of the review or selection committee. The review should be largely based on an evaluation of the individual's administrative performance. However, it should also be based upon the belief that teaching and research work are continuing commitments of all academics, whether or not they occupy administrative positions. While it is expected that a Chair remain active in at least one of these areas, the extent of such participation will be greatly influenced by the administrative needs of the specific Department or Faculty. The appointment agreement should stipulate the workload and performance expectations in teaching and research for the term, with particular attention to career advancement in Associate Professors.

4. COMPOSITION OF REVIEW COMMITTEES

> a. All reviews shall be carried out by a duly constituted review committee. Normally, the composition of the committee, the quorum and related matters shall be the same as for selection committees.

> b. Once members have been elected, the Provost and Vice-President (Academic) may name up to two additional full-time faculty member to the review committee to ensure broad representation and demographic diversity across the Faculty. The Provost shall consult with the Chair or the Vice-chair of the GFC Nominating Committee. Overall, the committee composition should be representative of the demographic diversity of the university with respect to **persons historically under-represented**.

> c. Notwithstanding the provisions of 4a (above), in the case of the review of a Department Chair, the incumbent shall not be eligible to vote in the election of departmental representatives to serve on the review committee.

5. REVIEW PROCEDURES

> a. General

> > i. The review committee is advisory to the Dean and shall obtain information about the effectiveness of the incumbent with respect to the expectations and directions at the time of appointment, and the desirability of reappointment or continuation. The Dean of the

Faculty has the authority to accept or reject the advisory committee's recommendation.

    ii.   As a minimum, the committee shall solicit submissions from the staff of the Department or Faculty, and the Dean in this regard.

    iii.   All submissions to the committee shall be in writing and signed; the review committee shall make every effort to ensure confidentiality.

    iv.   The relevancy of all materials submitted shall be determined by the review committee in consideration of the original job advertisement and expectations at the time of appointment.

    v.   After the relevancy of all material submitted has been determined by the review committee, the chair of the review committee shall then provide in writing to the incumbent a summary of that material. Comments contained in this summary shall not be attributed to any person(s). It is not acceptable to use redacted versions of the original submissions.

    vi.   The incumbent shall be invited to submit an oral or written presentation, or both, concerning their performance.

    vii.   After sufficient discussion, the chair of the review committee polls the committee to reach a "preliminary decision" in the case. The Dean of the Faculty has the authority to accept or reject the advisory committee's recommendation.

    viii.   When the Dean accepts a recommendation to offer an additional term to the incumbent (or to continue in office in the case of a review under 1.b. or 1.c.), or rejects a recommendation not to offer an additional term to the incumbent, the Dean offers the reappointment to the incumbent and, following the incumbent's acceptance, advises the Provost and Vice-President (Academic). The Provost and Vice-President (Academic) formally advises the candidate on behalf of the University.

    ix.   If the Dean of the Faculty does not accept the committee's recommendation to reappoint, the Dean will explain their reasons to the committee and to the incumbent. A selection committee will then be established.

    x.   If the Dean accepts a recommendation not to reappoint, the Dean will inform the incumbent and the Provost and Vice-President (Academic). A selection committee will then be established.

b. Review Procedures Following a Negative Recommendation

Where the "preliminary decision" of the review committee is not to recommend an additional term (or not to continue in office in the case of a review under 1.b. or 1.c.) the chair of the review committee immediately adjourns the hearing and the following procedures are then implemented prior to the reconvening of the committee.

    i. The chair of the review committee advises the incumbent of the "preliminary decision". The chair also selects a time to meet with the incumbent to discuss the situation.

    ii. The chair invites the incumbent to make submissions to the review committee. The submissions may be in writing and/or in person and may introduce material not previously before the review committee. The chair also invites the incumbent to submit a list of persons who may have information of value to the committee.

    iii. After sufficient discussion, the chair polls the review committee to reach a final decision on the case and makes the recommendation to the Dean of the Faculty.

    iv. The Dean of the Faculty has the authority to accept or reject the committee's recommendation. If the Dean accepts a positive recommendation, the Dean offers the re-appointment to the incumbent and, following the incumbent's acceptance, advises the Provost and Vice-President

~~(Academic). The Provost and Vice-President (Academic) formally advises the candidate on behalf of the University.~~

~~v. If the Dean doesn't accept the committee's positive recommendation, the Dean will explain their reasons to the committee and to the incumbent. A selection committee will then be established.~~

DEFINITIONS

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

Persons historically under-represented Women, Indigenous persons (First Nations, Métis, Inuit), members of visible minority groups, persons with disabilities, persons of any sexual orientation, gender identity or expression.

Faculty Members A faculty member means a full-time faculty member (from Category A1.1 or A1.6) who is employed at the University under the terms and conditions of the Board/AASUA Agreement – Schedule A Academic Faculty Members. See Recruitment Policy (Appendix A) *Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff*

FORMS

There are no forms for this Procedure. [▲Top]

RELATED LINKS

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Recruitment Policy (Appendix A) *Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff* (UAPPOL

Equity, Diversity, and Inclusion: Best Practices in Faculty Recruitment and Hiring

Approval Date: May 13, 2011 Effective Date: July 1, 2011

Parent Policy: Recruitment Policy

Academic Selection Procedure

Office of Administrative Responsibility: Human Resource Services and Faculty Relations Approver: General Faculties Council & Board of Governors

Scope: Compliance with this university policy/procedure extends to all Academic Staff, Administrators and Colleagues; as outlined and defined in Recruitment Policy (Appendix A)

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Overview

The University of Alberta ("University") is committed to appointing the best-qualified candidates for its employment opportunities and aspires to achieve an **equitable**, **diverse** and **inclusive** community of **employees** consistent with the mission set out in *its Strategic Plan for Equity, Diversity and Inclusivity* ("EDI Strategic Plan"). By adopting EDI principles and practices into its Academic Selection process, the University hopes to achieve diversity in the workplace and correct employment disadvantages experienced by **persons historically under-represented at the University**, while maintaining the high quality of its staff. These principles and practices are designed to ensure that access to the University's employment opportunities is equitable and inclusive by removing employment- related barriers and minimizing biases – particularly those based on **protected grounds**.

Purpose

The purpose of this procedure is to enable open, transparent and fair processes in the selection of all Faculty, Librarians, Faculty Service Officers, Administrative Professional Officers and Temporary Appointments.

PROCEDURE

1. COLLECTION OF APPLICANT INFORMATION

   a. Personal information is collected in accordance with the provisions of the Freedom of Information and Protection of Privacy Act (FOIPP).

   b. Verification of qualifications, interviews and reference checks will include only those inquiries necessary to determine an applicant's eligibility and suitability.

   c. Any costs associated with the collection of required information are the responsibility of the applicant.

   d. Candidates must complete and sign a Consent for Collection and Verification of Information Form before references can be contacted or information verified.

2. ADVISORY SELECTION COMMITTEES

   a. Advisory Selection Committees are required for the selection of continuing academic staff, subject to the exceptions as outlined below. The role of all selection committees is to advise the

authorized appointing officer on selection.

b. Overall, the Committee composition should reflect or exceed the demographic diversity of the University, inclusive of persons historically under-represented.

c. Committee members are responsible for familiarizing themselves with the principles of equity, diversity and inclusivity concepts of unconscious bias and discrimination the obligations under applicable University policies, in particular, the *Discrimination, Harassment and Duty to Accommodate Policy*, the University's *Employment Equity Statement* and the EDI Strategic Plan.

d. All committee members shall complete conflict of interest declarations, and any identified **conflict** of interest must be managed in accord with University's Conflict Policy and its associated procedures.

a. FACULTY

i. Faculty will be appointed by the authorized appointing officer (i.e. the Dean) on the advice of an Advisory Selection Committee. Exceptions to this procedure are outlined in 2.a (iv).

ii. Each academic department will have Advisory Selection Committee(s) for the appointment of faculty. The duty of an Advisory Selection Committee is to provide advice to the Dean.

iii. Advisory Selection Committees cannot be waived for appointments with tenure.

iv. Advisory Selection Committees may be waived for tenure track appointments:

1. for Associate Professors on probation by the Provost and Vice-President (Academic) on the recommendation of the Dean; and

2. for Assistant Professors by the Dean.

v. If a faculty member is being selected primarily for a position outside a Faculty (e.g. an administrative appointment), the faculty member must have a joint appointment with a Faculty for the purposes of making decisions regarding tenure and promotion. The Advisory Selection Committee for the administrative position will provide the Faculty Advisory Selection Committee with the qualifications of the candidate. The Faculty Advisory Selection Committee will advise the Dean on the appointment to the Faculty. When a Dean accepts a joint appointment to their Faculty, the Advisory Selection Committee can continue with the administrative appointment selection procedure.

b. LIBRARIAN

i. Librarians will be appointed by the authorized appointing officer (i.e. the Vice Provost and Chief Librarian).

ii. An Advisory Selection Committee must be used in the appointment of all Librarians hired under the University of Alberta Librarian Agreement.

iii. The duty of the Advisory Selection Committee is to provide advice to the Vice-Provost and Chief Librarian on the selection of a Librarian.

iv. Upon the request of the Vice-Provost and Chief Librarian and following consultation with the AASUA, the Provost and Vice-President (Academic) may waive the use of an Advisory Selection Committee.

c. FACULTY SERVICE OFFICER

    i. Faculty Service Officers will be appointed by the authorized appointing officer (i.e. the Provost and Vice-President (Academic)) on the advice of the Dean and an Advisory Selection Committee.

    ii. Unless otherwise determined by the Faculty Council, each Faculty will have an Advisory Selection Committee for the appointment of Faculty Service Officers.

    iii. The duty of the Advisory Selection Committee is to provide recommendations to the Dean (who in turn provides advice to the Provost and Vice-President (Academic)) on the appointment of Faculty Service Officers.

    iv. If a Faculty Service Officer is being selected for an administrative position outside a Faculty, the Faculty Service Officer must have a joint appointment with a Faculty for the purposes of making decisions regarding promotion and the awarding of a continuing appointment. The Selection Committee for the administrative position will provide the Faculty Advisory Selection Committee with the qualifications of the candidate. The Faculty Advisory Selection Committee will advise the Dean on the appointment of the Faculty Service Officer to a position within the Faculty When a Dean recommends to the Provost and Vice-President (Academic) a joint appointment to their Faculty and the Provost and Vice-President (Academic) accepts the recommendation, the selection committee can continue with the administrative appointment selection procedure.

d. ADMINISTRATIVE AND PROFESSIONAL OFFICERS

    i. Administrative and Professional Officers will be appointed by the authorized appointing officer (i.e. the appropriate Vice-President) on the advice of an Advisory Selection Committee

    ii. An Advisory Selection Committee must be used in the appointment of all Administrative Professional Officers hired under the University of Alberta Administrative Professional Officer Agreement.

    iii. The duty of the Advisory Selection Committee is to provide advice to the Vice-President on the appointment of Administrative Professional Officers.

    iv. The use of an Advisory Selection Committee may be waived by the Provost and Vice-President (Academic) upon the request of the authorized appointing officer.

    v. Qualified candidates for an Administrative Professional Officer position currently employed by the University should be given full in consideration for vacant positions.

e. TEMPORARY APPOINTMENTS

    i. Selection procedures for the appointment of temporary academic staff will be at the discretion of the authorized appointing officer, as defined in the applicable staff agreement. It is highly encouraged that the appointing officer uses an Advisory Selection Committee to provide advice on the appointment.

3. PROCEDURES FOLLOWED BY ADVISORY SELECTION COMMITTEES

 Internal procedures for Advisory Selection Committees for Faculty and Faculty Service Officers will be established by the appropriate Faculty Council. In assessing candidates for faculty positions, Deans will direct all Advisory Selection Committees to establish methods to examine and assess a candidate's teaching

experience and teaching potential appropriate to the duties of the position and the specific requirements of the discipline.

c. Internal procedures for Advisory Selection Committees for Librarians will be established by the Library Council.

d. Internal procedures for Advisory Selection Committees for APOs and, if used, for Temporary Appointments, will be established by the authorized appointing officer or delegate.

e. Internal procedures established under this Procedure should in general require that advisory selection committees adopt, document, and base evaluations upon explicit criteria that are consistent with the advertised position requirements. Committees should also in all cases explicitly address any career path pathways or interruptions as they might affect assessment of the candidates.

f. The committees will fulfil the university's duty to accommodate by giving candidates the opportunity to ask for reasonable accommodation during the application and interview process.

4. COMPOSITION OF ADVISORY SELECTION COMMITTEES

A. FACULTY and FACULTY SERVICE OFFICERS

The composition of the Advisory Selection Committee will be as follows unless changed by the Faculty Council. If the Faculty changes the composition, the Dean must inform the Provost and Vice-President (Academic) in writing.

a. Composition of Advisory Selection Committee for faculty appointments to departmentalized Faculties.

> i. The Advisory Selection Committee Chair (either the Dean, Vice-Dean, or an Associate Dean or other delegate of the Dean), determined in consultation with the Department Chair;
>
> ii. The Department Chair or delegate;
>
> iii. One or more full-time faculty members from within the Department (including joint appointments) who are to be selected according to procedures approved by the Faculty Council;
>
> iv. One or more full-time faculty members from outside the Department who are selected by and according to procedures approved by the Faculty Council; and
>
> v. One representative of the relevant professional body selected by the other members of the Advisory Selection Committee where the members consider such representation appropriate. The Advisory Selection Committee will be responsible for determining what is meant by a "relevant professional body". The Chair of the Advisory Selection Committee will be responsible for informing the Provost and Vice-President (Academic), of the name and affiliation of any representative added to the Advisory Selection Committee under this section.

b. Composition of Advisory Selection Committee for faculty appointments to non-departmentalized Faculties

> i. The Advisory Selection Committee Chair (either the Dean, Vice-Dean, or an Associate Dean, or other delegate of the Dean);
>
> ii. The head of the Appropriate Division or Unit of the Faculty, where appropriate;
>
> iii. One or more full-time faculty members from within the Faculty (including joint appointments) selected by and according to the procedures approved by the Faculty Council;
>
> iv. One or two full-time faculty members from outside of the Faculty selected by and according to

the procedures approved by the Faculty Council; and

v. One representative of the relevant professional body selected by the other members of the Advisory Selection Committee where the members consider such representation appropriate. The Advisory Selection Committee will be responsible for determining what is meant by a "relevant professional body". The Chair of the Advisory Selection Committee will be responsible for informing the Provost and Vice-President (Academic), of the name and affiliation of any representative added to the Advisory Selection Committee under this section.

c. Composition of the Advisory Selection Committee for the appointment of Named Research/Teaching Chairs.

Prior to the commencement of the selection process, the Faculty will ensure that the Provost and Vice-President (Academic) has been advised (in writing) of any changes in the composition of the Advisory Selection Committee.

d. Composition of the Advisory Selection Committee for the appointment of Faculty Service Officers

i. The Advisory Selection Committee Chair (either the Dean, Vice-Dean, or an Associate Dean or other delegate of the Dean);

ii. The Department Chair, if any; and

iii. Such other members as the Dean and Department Chair, if any, may consider necessary.

B. LIBRARIANS

a. The Administrative Librarian responsible for personnel, as Chair;

b. The supervisor;

c. One staff member from the unit involved selected by the Chair;

d. One staff member of the Library, selected according to procedures approved by the Library Council; and

e. Other persons as deemed necessary by the Vice-Provost and Chief Librarian following consultation with the Committee.

C. ADMINISTRATIVE PROFESSIONAL OFFICERS

a. The composition of the Advisory Selection Committee will be at the discretion of the authorized appointing officer or delegate, and will normally consist of at least three individuals.

DEFINITIONS

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Diversity Diversity refers to difference or variety. In a broad societal EDI context, diversity refers to demographic or identity diversity, including that based on the protected grounds. Within universities, diversity encompasses these, as well as difference or variety in education, perspectives, opinions, heuristics, disciplines, faculties, skills, and learning opportunities. The University of Alberta supports and encourages diversity through the identification and

removal of barriers and biases, and the creation of workplaces that are free of harassment and discrimination.

Inclusion Inclusion means that we value and cultivate full and meaningful engagement of historically and structurally excluded individuals and groups. Inclusion refers to enabling all individuals on our campuses to fully enjoy the opportunities the university has to offer, and to have all equity seeking groups meaningfully represented in all aspects of university life and decision-making roles university wide.

Employee(s) A person employed by the University and defined under *Recruitment Policy (Appendix A) Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff or Recruitment Policy (Appendix B) Definition and Categories of Support Staff.*

Persons historically under-represented Women, Indigenous persons (First Nations, Métis, Inuit), members of visible minority groups, persons with disabilities, persons of any sexual orientation, gender identity or expression.

Protected Grounds Refers to those grounds set out and defined in the *Alberta Human Rights Act* and in the University's *Discrimination, Harrassment and Duty to Accommodate Policy* (UAPPOL) which are: race, religious beliefs, colour, gender, gender identity, gender expression, physical disability, mental disability, age, ancestry, place of origin, marital status, source of income, family statuts, sexual orientation or political beliefs.

Conflict Conflict of interest, conflict of commitment, or institutional conflict as defined in the University of Alberta Conflict Policy – Conflict of Interest and Commitment and Institutional Conflict Policy

Faculty, Librarians, Faculty Service Officers, Administrative Professional Officers, and Temporary

See Recruitment Policy (Appendix A) Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff (categories A1.0 to A3.4 and D1)

Joint Appointment Academic Staff under Categories A, B or C of the Recruitment Policy (Appendix A) *Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff* who are appointed to more than one University department with a designated home department within the University.

FORMS

Consent for Collection and Verification of Information form

RELATED LINKS

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

Equity, Diversity, and Inclusion: Best Practices in Faculty Recruitment and Hiring

Original Approval Date: May 13, 2011 Effective Date: July 1, 2011

Most Recent Approval Date: December 12, 2016

Parent Policy: Recruitment Policy

Academic Staff Posting and Advertising Procedure

Office of Administrative Responsibility: Human Resource Services and Faculty & Staff Relations

Approver: Provost and Vice-President (Academic) & Vice-President (Finance and Administration)

Scope: Compliance with this university policy/procedure extends to all Academic Staff, Administrators and Colleagues; as outlined and defined in Recruitment Policy (Appendix A)

Overview

The University of Alberta ("University") is committed to appointing the best-qualified candidates for its employment opportunities and aspires to achieve an **equitable**, **diverse** and **inclusive** community of **employees** consistent with the mission set out in *its Strategic Plan for Equity, Diversity and Inclusivity* ("EDI Strategic Plan"). By adopting EDI principles and practices into its Academic Selection process, the University hopes to achieve diversity in the workplace and correct employment disadvantages experienced by **persons historically under-represented at the University**, while maintaining the high quality of its staff. These principles and practices are designed to ensure that access to the University's employment opportunities is equitable and inclusive by removing employment- related barriers and minimizing biases – particularly those based on **protected grounds**.

Purpose

This procedure outlines the steps that must be followed for posting and advertising vacancies for Faculty, Librarians, Faculty Service Officers, Administrative Professional Officers, and Temporary Appointments.

PROCEDURE

GENERAL REQUIREMENTS FOR POSTING AND ADVERTISING OF JOB VACANCIES

1. Continuing academic vacancies (Faculty, Administrative Professional Officer, Faculty Service Officer, and Librarian) will be posted on the University of Alberta Careers website for a minimum of five business days.

2. Subject to the provisions of individual agreements for Temporary Appointments (Categories A2.0 and A3.0), it is recommended that temporary academic opportunities greater than one year be posted.

3. The University hopes to achieve diversity in the workplace and correct employment disadvantages experienced by persons historically under-represented at the University, while maintaining the high quality of its staff. The University Employment Equity Statement should be included on all postings and advertisements.

4. Postings and advertisements for vacancies at Faculté Saint-Jean may appear in English, French or both. Where the advertisement is in French, it will clearly state the requirement for oral and written competency in English.

5. Advertisements will appear simultaneously or later than postings on University of Alberta Careers website, and

should appear in media accessed by persons from historically under-represented groups.

6. Postings and advertisements for faculty will include the Canadian preference proviso statement unless administrative duties comprise 51% or greater of the position.

7. Postings will articulate the university's commitment to the Duty to Accommodate during the recruitment process and invite requests by applicants for reasonable accommodations.

WAIVERS AND EXCEPTIONS TO POSTING

7. In exceptional circumstances, the posting requirements for continuing academic positions may be waived with the prior approval of the Provost and Vice-President (Academic). The Provost and Vice-President (Academic) will advise the AASUA of the decision and report all waivers to the General Faculties Council annually. Requests for waiver of posting should be submitted to Human Resource Services.

8. Posting is not required when an incumbent's position is reclassified or converted from Support Staff to Administrative Professional Officer (unless a foreign national holds the position).

RULES RELATED TO FOREIGN NATIONALS

9. As per the federal government immigration advertising requirements, posting and advertising cannot be waived if foreign national applicants are to be considered.

> a. Advertisements must appear in designated Canadian national media. b. Any position in which teaching comprises 50% or more of the position must be advertised for a minimum of 30 days in the Canadian Association of University Teachers Bulletin and University Affairs (print or website) before foreign national applicants can be considered within the competition. c. International advertisements must appear simultaneously or later than Canadian advertisements. The number of international media advertisements must not exceed the number of Canadian national advertisements.

UNIVERSITY EMPLOYMENT EQUITY STATEMENT

10. All postings and advertisements will include the University Employment Equity Hiring Statement.

11. In cross appointments, the name of the external organization or institution may be included in the University Equity Statement or the equity statement of the external organization or institution may appear in conjunction with the University Equity Statement.

INITIATING THE PROCESS

12. If the hiring unit uses the services of a search consultant, the consultant must work with Human Resource Services and will follow the approved standards and templates for University of Alberta advertisements. The consultant should demonstrate expertise in principles of equity, diversity and inclusivity and same should be reflected in their own organization.

13. Hiring units initiate the posting and advertising process to create a new competition.

14. All postings and advertisements will establish the required qualifications, skills, abilities, competencies and credentials required in an objective, equitable and inclusive way and should include:

> a. Position title and appointment category

> b. Department/Unit

c. Major responsibilities and accountabilities

d. Rank (for Faculty, FSO and Librarian positions)

e. Required academic qualifications, knowledge, skills and abilities

f. Term of employment (if applicable)

g. Deadline date for applications or date when the application review process will begin

h. Contact information

ROLE OF HUMAN RESOURCE SERVICES

15. Human Resource Services will review and approve all postings and advertisements to:

a. Ensure the content is accurate and the information and advertising complies with federal government immigration requirements (where applicable)

b. Confirm rank and salary range (if applicable)

c. Ensure compliance with the University's posting and advertising standards and templates

ADVERTISING

16. If advertising is required, Human Resource Services will submit the approved advertising copy to the advertising agency for proofs and cost quotes.

17. Upon receipt of the proofs and cost quotes, the hiring unit will advise the advertising agency and Human Resource Services of the approved cost quotes and any final edits to the proof. The cost of advertising is the responsibility of the hiring unit.

18. In selecting advertising venues, the hiring unit should identify relevant venues to reach a diverse pool of qualified prospective applicants.

DEFINITIONS

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Equity Equity is about fairness in access and in the opportunity to succeed in employment. Employment equity principles, policies, and practices enable equitable access, representation, opportunities, and meaningful participation of socially diverse people.

Diversity Diversity refers to difference or variety. In a broad societal EDI context, diversity refers to demographic or identity diversity, including that based on the protected grounds. Within universities, diversity encompasses these, as well as difference or variety in education, perspectives, opinions, heuristics, disciplines, faculties, skills, and learning opportunities. The University of Alberta supports and encourages diversity through the identification and removal of barriers and biases, and the creation of workplaces that are free of harassment and discrimination.

Inclusion Inclusion means that we value and cultivate full and meaningful engagement of historically and structurally excluded individuals and groups. Inclusion refers to enabling all individuals on our campuses to fully enjoy the opportunities the university has to offer, and to have all equity seeking groups meaningfully represented in all aspects of university life and decision-making roles university wide.

Employee(s) A person employed by the University and defined under *Recruitment Policy (Appendix A) Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff or*

Recruitment Policy (Appendix B) Definition and Categories of Support Staff.

Persons historically under-represented Women, Indigenous persons (First Nations, Métis, Inuit), members of visible minority groups, persons with disabilities, persons of any sexual orientation, gender identity or expression.

Protected Grounds Refers to those grounds set out and defined in the *Alberta Human Rights Act* and in the University's *Discrimination, Harrassment and Duty to Accommodate Policy* (UAPPOL) which are: race, religious beliefs, colour, gender, gender identity, gender expression, physical disability, mental disability, age, ancestry, place of origin, marital status, source of income, family statuts, sexual orientation or political beliefs.

Posting The placement of an advertisement for the recruitment of staff on the University of Alberta Careers website (careers.ualberta.ca).

Advertising The placement of an advertisement for the recruitment of staff in appropriate media outside of the University to provide the greatest pool of qualified applicants.

Faculty, Librarians, Faculty Service Officers, Administrative Professional Officers, and Temporary Appointments

See Recruitment Policy (Appendix A) Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff (categories A1.0 to A3.4 and D1.2)

Postings An internal communication designed for the recruitment of staff placed on the University of Alberta Careers website (careers.ualberta.ca).

Advertisements An external communication designed for the recruitment of staff in appropriate media outside the University to provide the greatest pool of qualified applicants.

Proviso Statement "All qualified candidates are encouraged to apply; however, Canadians and permanent residents will be given priority."

Foreign National Any individual who is not a Canadian Citizen or Permanent Resident of Canada (Permanent Resident must continue to meet residency requirements).

Designated Canadian National Media

Print, electronic or other media chosen by the hiring unit to provide the greatest pool of qualified applicants and accepted as Canadian (national) media for the purposes of Service Canada's Labour Market Opinion.

University Employment Equity Statement

"The University of Alberta is committed to an equitable, diverse, and inclusive workforce. We welcome applications from all qualified persons. We encourage women; First Nations, Métis and Inuit; members of visible minority groups; persons with disabilities; persons of any sexual orientation or gender identity and expression; and all those who may contribute to the further diversification of ideas and the University to apply."

Cross Appointments Individuals appointed from an external organization or institution to work

with the University on a full or part-time basis or an individual within the University appointed to an external organization or institution to work on a full or part-time basis. This may also refer to staff under categories A, B, or C under the Recruitment Policy (Appendix A) *Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff* who hold an unpaid appointment in another department on campus.

Search Consultant A member of an external agency contracted by the University to undertake recruitment.

FORMS

There are no forms for this Procedure. [▲Top]

RELATED LINKS

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

University of Alberta Careers (University of Alberta)

Recruitment Policy (Appendix A) *Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff*

Recruitment Policy (Appendix B) Definition and Categories of Support Staff (UAPPOL)

Equity, Diversity, and Inclusion: Best Practices in Faculty Recruitment and Hiring

Approval Date: May 13, 2011 Effective Date: July 1, 2011

Parent Policy: Recruitment Policy

Support Staff Selection Procedure

Office of Administrative Responsibility: Human Resource Services

Approver: Board of Governors

Scope: Compliance with this university policy/procedure extends to Support Staff as outlined and defined in Recruitment Policy (Appendix B)

Overview

The University of Alberta ("University") is committed to appointing the best-qualified candidates for its employment opportunities and aspires to achieve an **equitable**, **diverse** and **inclusive** community of **employees** consistent with the mission set out in *its Strategic Plan for Equity, Diversity and Inclusivity* ("EDI Strategic Plan"). By adopting EDI principles and practices into its Support Staff Selection process, the University hopes to achieve diversity in the workplace and correct employment disadvantages experienced by **persons historically under-represented at the University**, while maintaining the high quality of its staff. These principles and practices are designed to ensure that access to the University's employment opportunities is equitable and inclusive by removing employment- related barriers and minimizing biases – particularly those based on **protected grounds**.

Purpose

The purpose of this procedure is to enable equitable process in the selection of support staff.

PROCEDURE

1. COLLECTION OF APPLICANT INFORMATION

    a. Personal information is collected in accordance with the provisions of the Freedom of Information and Protection of Privacy Act (FOIPP).

    b. Verification of qualifications, interviews and reference checks will include only those inquiries necessary to determine an applicant's eligibility and suitability for the advertised position.

    c. Any costs associated with the collection of required information are the responsibility of the applicant.

2. REFERENCES

    a. Candidates must complete and sign a Consent for Collection and Verification of Information Form before references can be contacted or information verified.

    b. Reference checks and verification of credentials should be completed before an offer of employment is made.

3. SELECTION PANEL

    a.   A panel should include representatives who have expertise on the qualifications or are a stakeholder in the vacant position. Representatives should have an understanding of the skill set required to ensure the

candidate has the competencies to successfully fill the position.

b. It is recommended that each recruitment competition have an selection panel as part of the selection and appointment process.

c. Overall, the panel composition should reflect or exceed the demographic diversity of the University, inclusive of persons historically under-represented.

d. Panel members are responsible for familiarizing themselves with the principles of equity, diversity and inclusivity concepts of unconscious bias and discrimination the obligations under applicable University policies, in particular, the *Discrimination, Harassment and Duty to Accommodate Policy*, the University's *Employment Equity Statement* and the EDI Strategic Plan.

e. Panel members shall complete conflict of interest declarations, and any identified **conflict** of interest must be managed in accord with University's Conflict Policy and its associated procedures.

Recommended composition is as follows.

i Committee members are responsible for awareness of equity, anti-discrimination and bias and knowledge of relevant policies and procedures.

ii. Direct supervisor of the position;

iii. A technical expert, if appropriate;

iv. Department Human Resources contact; and

v. Any other appropriate person.

4. INTERVIEWS

a. All short list criteria for the position must be based on relevant criteria that can meet **the bona fide occupational requirement** test. Evaluation of applicants against criteria should be explicit and documented. All candidates should be given the opportunity to ask for reasonable accommodation during the application and interview process

b. Selection committees should strive to ensure shortlisted candidates reflect the broad demographic diversity of the contemporary university, and make reasonable efforts to include persons from historically under-represented groups.

b.c. The primary objective of the interview process is to provide short listed candidates an equal opportunity to present their knowledge, skills and qualifications.

c.d. To ensure fairness short listed candidates for a position will be interviewed using the same interview plan and information.

d.e. Interview questions must be job-related, focusing on the knowledge, skills and abilities of the candidate as they relate to the position.

5. ADDITIONAL SELECTION TOOLS

Other methods such as testing, job related exercises, or second interviews may also be used.

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Employee(s) A person employed by the University and defined under *Recruitment Policy (Appendix A) Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff or Recruitment Policy (Appendix B) Definition and Categories of Support Staff.*

Persons historically under-represented Women, Indigenous persons (First Nations, Métis, Inuit), members of visible minority groups, persons with disabilities, persons of any sexual orientation, gender identity or expression.

Protected Grounds Refers to those grounds set out and defined in the *Alberta Human Rights Act* and in the University's *Discrimination, Harrassment and Duty to Accommodate Policy* (UAPPOL) which are: race, religious beliefs, colour, gender, gender identity, gender expression, physical disability, mental disability, age, ancestry, place of origin, marital status, source of income, family statuts, sexual orientation or political beliefs.

Support Staff See Recruitment Policy (Appendix B)

Conflict Conflict of interest, conflict of commitment, or institutional conflict as defined in the University of Alberta Conflict Policy – Conflict of Interest and Commitment and Institutional Conflict Policy

Recruitment Competition A process where qualified candidates are interviewed for a vacant position**.**

Bona Fide Occupational Requirement An objective criteria related to the skills and qualifications required for the vacant position.

FORMS

Should a link fail, please contact uappol@ualberta.ca.

Pre-employment Reference Interview Guide

References - Consent for Collection and Verification of Information Form

RELATED LINKS

Should a link fail, please contact uappol@ualberta.ca.

Employment Standards Code (Government of Alberta)

Post-Secondary Learning Act (Government of Alberta)

Original Approval Date: May 13, 2011 Effective Date: July 1, 2011

Most Recent Approval Date: December 12, 2016

Parent Policy: Recruitment Policy

Support Staff Posting and Advertising Procedure

Office of Administrative Responsibility: Human Resource Services

Approver: Vice-President (Finance and Administration)

Scope:

Compliance with this procedures extends to all Support Staff as outlined and defined in Recruitment Policy (Appendix A S1.0)

Overview

The University of Alberta ("University") is committed to appointing the best-qualified candidates for its employment opportunities and aspires to achieve an **equitable**, **diverse** and **inclusive** community of **employees** consistent with the mission set out in *its Strategic Plan for Equity, Diversity and Inclusivity* ("EDI Strategic Plan"). By adopting EDI principles and practices into its Support Staff Selection process, the University hopes to achieve diversity in the workplace and correct employment disadvantages experienced by **persons historically under-represented at the University**, while maintaining the high quality of its staff. These principles and practices are designed to ensure that access to the University's employment opportunities is equitable and inclusive by removing employment- related barriers and minimizing biases – particularly those based on **protected grounds**.

Purpose

This procedure outlines the steps that must be followed for posting and advertising vacancies in support staff positions. The procedures comply with the Collective Agreement between the Non-Academic Staff Association and the Governors of the University.

PROCEDURE

GENERAL REQUIREMENTS FOR POSTING AND ADVERTISING JOB VACANCIES

Longer than 12 Months

1. Once it has been determined that a vacant position of longer than 12 months in duration will be filled, that position will be posted, unless one of the following occurs in order of precedence:

    a. There is an individual performing the duties who was appointed by virtue of a posting (change in employee type), or

    b. The position will be filled due to a duty to accommodate, or

    c. It is a Non-Academic Staff Association (NASA) bargaining unit position and will be filled through

redeployment or recall, or

d. The parties (NASA and the University) agree to waive the posting procedure on a bargaining unit position. Postings will be on the University of Alberta Careers website for a minimum of five days. 12 Months or Less

2. For vacancies of 12 months or less:

a. The vacancy can be posted at the manager's discretion.

b. The manager may determine that it is appropriate to fill a vacancy that will last 6 to 12 months with a temporary transfer or promotion of a current employee.

i. Candidates from the immediate work group are eligible to express their interest.

ii. Where the supervisor deems it appropriate, individuals in other work groups may be invited to express their interest.

iii. The invitation to apply will normally include;

1. Position title

2. Department/Unit

3. Major responsibilities and accountabilities;

4. Qualifications, which may include education, experience and/or equivalent combination, knowledge, skills and abilities;

5. Expected duration;

6. Salary range;

7. Deadline date for expression of interest and method of application; and

8. Information about the selection process.

3. The University is committed to the principle of employment equity and welcomes applications from all qualified persons including women, members of visible minority groups, Indigenous persons (First Nations, Metis and Inuit), persons with disabilities and sexual and gender minorities.

4. A manager may choose to restrict eligibility for a position to applicants internal to the University.

5. Postings and advertisements for vacancies at Faculté Saint-Jean may appear in English, French or both. Where the advertisement is French, it will clearly state the requirement for oral and written competency in English.

6. Advertisements will not precede postings on the University of Alberta Careers website.

7. As per the federal government immigration advertising requirements posting and advertising cannot be waived if foreign national applicants are to be considered.

a. Advertisements must appear in designated Canadian national media.

b. International advertisements must not precede Canadian advertisements. The number of international media advertisements must not exceed the number of Canadian national advertisements.

UNIVERSITY EMPLOYMENT EQUITY STATEMENT

8. All postings and advertisements will include the University Employment Equity Statement.

INITIATING THE PROCESS

9. If the hiring unit uses the services of a search consultant, the consultant must work with Human Resource Services and will follow the approved standards and template for University of Alberta advertisements.

10. Hiring units initiate the posting and advertising process to create a new competition.

11. All postings and advertisements will include:

> a. Position title and type
>
> b. Department/Unit
>
> c. Major responsibilities and accountabilities
>
> d. Qualifications, which may include education, experience and/or equivalent combination, knowledge, skills and abilities;
>
> e. Term of employment (if applicable)
>
> f. Salary range
>
> g. Deadline date for applications, if applicable
>
> h. Contact information

ROLE OF HUMAN RESOURCE SERVICES

12. Human Resource Services will review and approve all postings and advertising to:

> a. Ensure the content is accurate and reflects the current job through cross referencing the job fact sheet and the job evaluation
>
> b. Ensure the content is accurate and the information and advertising reflects bona fide occupational requirements and complies with federal government immigration requirements (where applicable)
>
> c. Confirm the salary range and/or evaluation level
>
> d. Ensure compliance with the University's posting and advertising standards and templates
>
> e. Screen for accommodation and recall obligations under the NASA Collective Agreement

ADVERTISING

13. If advertising is required, Human Resource Services will submit the approved advertising copy to the advertising agency for proofs and cost quotes.

14. Upon receipt of the proofs and cost quotes, the hiring unit will advise the advertising agency and Human Resource Services of the approved cost quotes and any final edits to the proof. The cost of advertising is the responsibility of the hiring unit.

15. In selecting advertising venues, the hiring unit should identify relevant venues to reach a diverse pool of prospective qualified applicants.

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Inclusion Inclusion means that we value and cultivate full and meaningful engagement of historically and structurally excluded individuals and groups. Inclusion refers to enabling all individuals on our campuses to fully enjoy the opportunities the university has to offer, and to have all equity seeking groups meaningfully represented in all aspects of university life and decision-making roles university wide.

Employee(s) A person employed by the University and defined under *Recruitment Policy (Appendix A) Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff or Recruitment Policy (Appendix B) Definition and Categories of Support Staff.*

Persons historically under-represented Women, Indigenous persons (First Nations, Métis, Inuit), members of visible minority groups, persons with disabilities, persons of any sexual orientation, gender identity or expression.

Protected Grounds Refers to those grounds set out and defined in the *Alberta Human Rights Act* and in the University's *Discrimination, Harrassment and Duty to Accommodate Policy* (UAPPOL) which are: race, religious beliefs, colour, gender, gender identity, gender expression, physical disability, mental disability, age, ancestry, place of origin, marital status, source of income, family statuts, sexual orientation or political beliefs.

Posting An internal communication designed for the recruitment of staff placed on the University of Alberta Careers website (careers.ualberta.ca).

Advertising An external communication designed for the recruitment of staff in appropriate media outside the University to provide the greatest pool of qualified applicants.

Support Staff See Recruitment Policy (Appendix B) Definition and Categories of Support Staff

Foreign National Any individual who is not a Canadian Citizen or Permanent Resident of Canada. (Permanent Resident must continue to meet residency requirements).

Designated Canadian National Media

Print, electronic or other media chosen by the hiring unit to provide the greatest pool of qualified applicants and accepted as Canadian (national) media for the purposes of Service Canada's Labour Market Opinion.

University Employment Equity Statement

"The University of Alberta is committed to an equitable, diverse, and inclusive workforce. We welcome applications from all qualified persons. We encourage women; First Nations, Métis and Inuit; members of visible minority groups; persons with disabilities; persons of any sexual orientation or gender identity and expression; and all those who may contribute to the further diversification of ideas and the University to apply."

Search Consultant A member of an agency contracted by the University to undertake recruitment.

Bona Fide Occupational Requirement (BFOR) A standard or rule that is integral to carrying out the functions of a specific position. For a standard to be considered a BFOR, an employer has to establish that any accommodation or changes to the standard would create an undue hardship.

FORMS

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University of Alberta Careers (University of Alberta)

Recruitment Policy (Appendix A) *Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff*

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

Item No. 7

Governance Executive Summary
Advice, Discussion, Information Item

Agenda Title	Effective Teaching and Learning: A Framework for Multifaceted Assessment

Item

Proposed by	John Nychka, Vice-Provost (Learning Initiatives)
Presenter	John Nychka, Vice-Provost (Learning Initiatives)
	Luis Fernando Marin, Senior Research Coordinator, Centre for Teaching and Learning (CTL)
	Cheryl Poth, Associate Director, CTL
	Janice Miller-Young, Academic Director, CTL

Details

Responsibility	Provost and Vice-President (Academic)
The Purpose of the Proposal is (please be specific)	To gather feedback on the work of the Centre for Teaching and Learning to develop a framework to describe effective teaching. The framework will guide efforts to provide robust supports, tools, and training to develop and assess teaching quality in the University. The framework may also be used to identify qualitative and quantitative criteria that are fair, equitable, and meaningful across disciplines for teaching assessment and evaluation. In this way, it may be used in developing policy to replace and revise GFC Policy 111.
Executive Summary (*outline the specific item – and remember your audience*)	The emerging framework describes five dimensions of effective teaching and learning: a) content expertise, b) course design, c) instructional practices, d) climate for learning, and e) reflection, growth, and leadership. Each element contains several sub-dimensions for which constructs can be defined, and which may be assessed by self, peers, and/or students. Feedback requested: • Is the framework inclusive of all types of teaching and contexts across the University? What could be added or changed?
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	The framework was presented to the Committee on the Learning Environment in October 2019 for early consultation.
	GFC Executive Committee (January 13, 2020)
	General Faculties Council (January 27, 2020)

Strategic Alignment

Alignment with *For the Public Good*	Objective 14. Inspire, model, and support excellence in teaching and learning.
	Strategy iii. Provide robust supports, tools, and training to develop and assess teaching quality, using qualitative and quantitative criteria that are fair, equitable, and meaningful across disciplines.
Alignment with Core Risk Area	Please note below the specific institutional risk(s) this proposal is

	addressing.	
	☐ Enrolment Management	☒ Relationship with Stakeholders
	☒ Faculty and Staff	☒ Reputation
	☐ Funding and Resource Management	☐ Research Enterprise
	☐ IT Services, Software and Hardware	☐ Safety
	☐ Leadership and Change	☒ Student Success
	☐ Physical Infrastructure	
Legislative Compliance and jurisdiction	GFC Policy 111 Teaching and Learning and Teaching Evaluation Post-Secondary Learning Act (PSLA) General Faculties Council Terms of Reference GFC Executive Committee Terms of Reference GFC Committee on the Learning Environment	

Attachment:

1. Framework Summary Jan 2020 (pg. 1-3)

Prepared by: Janice Miller-Young, Academic Director, CTL, jmilleryoung@ualberta.ca

Framework for Effective Teaching

The Centre for Teaching and Learning is developing a framework to describe effective teaching and to support better methods of developing, documenting, and evaluating teaching at the University of Alberta. Five dimensions are described to capture the necessary elements for quality teaching, including those associated with the course, the instructor, and the learning environment.

The framework aligns with, and expands upon, our Collective Agreement's language about evaluation of teaching (Collective Agreement, A6.03.4), University policy regarding teaching and assessment (GFC 111.1), perspectives of department chairs (Forgie et al., 2017), and an extensive literature review. It has been developed to inform the practice of multi-faceted assessment of teaching, as well as a review of the USRI questionnaire.

Goals
- To communicate and build consensus about effective teaching,
- To support multifaceted evaluation of teaching at the University of Alberta by describing the dimensions of quality teaching,
- To suggest forms of evidence and inform the development of tools for formative and summative evaluation of teaching.
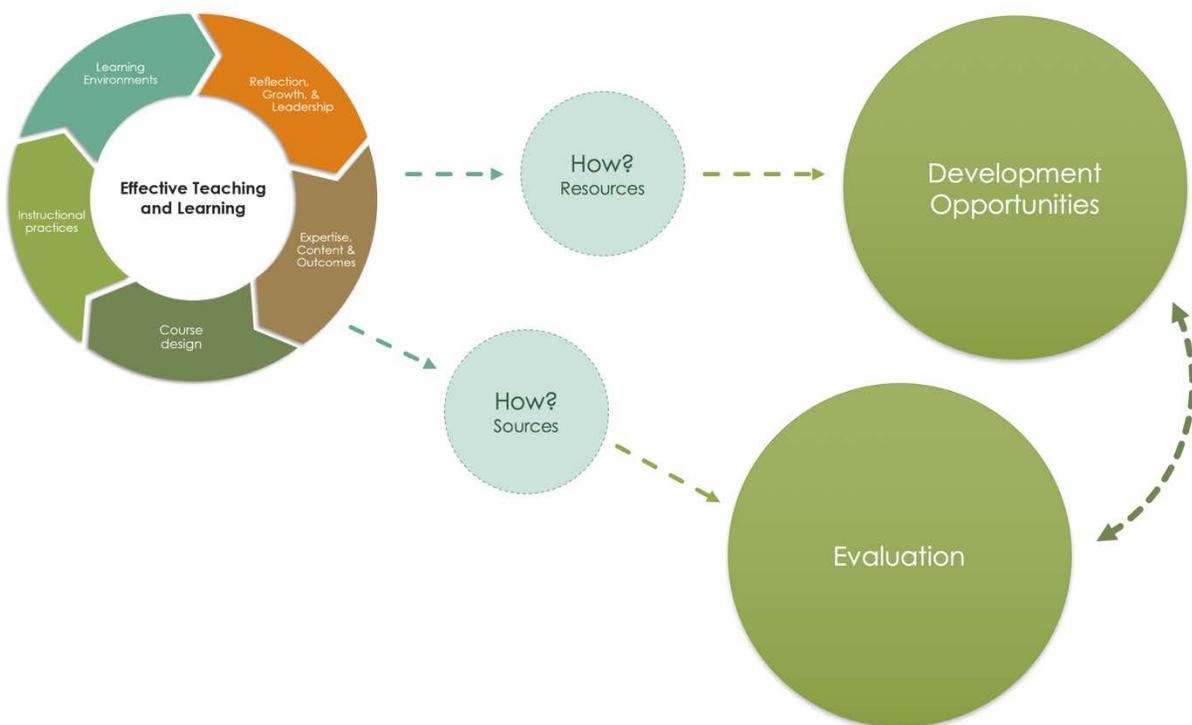
1. **Expertise, Content & Outcomes**
What students are expected to learn as well as the expertise that instructors require to facilitate this learning.
   - Rigor and relevance of learning outcomes (to students, curriculum, institution)
     e.g. The rigour, breadth and depth of content, knowledge, skills and attitudes that students are expected to learn during a course or learning situation.
   - Relevance of instructor expertise
     e.g. The breadth and depth of instructor's discipline and/or field knowledge as well as pedagogical knowledge relevant to the subject matter.

2. **Course Design**
Constructive organization of course objectives, resources, assignments, and assessments.
   - Coherent design of instruction
     e.g. Course objectives, syllabus, appropriate pace and organization.
   - Constructive assignments and assessment strategies
     e.g. Alignment of assignments and assessments with course objectives.
   - Useful learning resources and materials
     e.g. Materials support learning relevant to course goals and are as cost-effective as possible.

3. **Instructional Practices**
Teaching preparation, methods, and approaches to facilitate learning.
   - Effective facilitation of course delivery
     e.g. Instructor preparation, communication of expectations, provision of feedback.
   - Student-centered instruction and learning activities
     e.g. Facilitation of instructor-student and student-student interactions, active learning.
   - Approaches to facilitating a productive and supportive climate for learning
     e.g. intentional strategies to create a respectful, equitable, diverse, and inclusive learning environment.

4. **Learning Environments**
Physical and virtual support systems.
   - Infrastructure
     e.g. Suitability of physical and virtual environment, educational technology.
   - Support
     e.g. Availability of teaching assistants, accessibility accommodations, and other supports
   - Scheduling
     e.g. Course meeting times and/or online module availability are conducive to learning.

5. **Reflection, Growth, and Leadership**
Efforts to contribute to growth in self and others' teaching practices
   - Engagement in self-reflection and continuous improvement

e.g. documented self-assessment informed by multiple sources, leading to changes in teaching practices, and improvements in student learning, understanding or other outcomes.

- Pursuit of teaching and learning professional development
  e.g. regular engagement in formal and informal activities such as courses, workshops, discussion with peers, reading of literature.
- Educational leadership
  e.g. peer mentoring, contributions to departmental, Faculty, or institutional initiatives to support and improve teaching and teaching culture, contributions to curriculum and program review, creation of open educational resources.
- Contributions to scholarship of teaching and learning
  e.g. inquiry into teaching and learning contexts and processes and dissemination of results.

Item No. 8

Governance Executive Summary
Advice, Discussion, Information Item

Agenda Title	Recommendations of the GFC Executive's ad hoc Committee on Program Approval Processes

Item

Proposed by	GFC Executive *ad hoc* Committee on Program Approval Processes
Presenter	Tammy Hopper, Vice-Provost (Programs)

Details

Responsibility	General Faculties Council
The Purpose of the Proposal is (please be specific)	The proposal is before GFC to discuss the proposed changes to the process for program approval.
Executive Summary (*outline the specific item – and remember your audience*)	A fundamental role of GFC is to set university-wide academic regulations, and approve new programs and changes to existing programs. The Report of the ad hoc Committee on Academic Governance including Delegated Authority, endorsed by GFC in April 2017, noted the following: *The approval pathways related to programs and regulations can be convoluted and burdensome for those proposing them. The current standing committee structure does not appear to provide a cohesive approach to these activities as portions of proposals can follow different approval pathways; this results in the appearance of a confusing, slow and cumbersome pathway for approval of new programs, program changes and course changes.* *The recommendations in this section seek to ensure that the governance oversight expected by GFC is in place and that proposals follow pathways that are clear and add value at each step. Some changes are proposed which add value to the proposal and some provide a more transparent and seamless pathway to approval. The changes will ensure: approval processes are streamlined yet rigorous; that necessary consultations occur; that there is clarity with regard to which bodies have authority for particular approvals; that value is added at each step; and that resources are used efficiently.* Since GFC endorsed the ad hoc report and recommendations, there has been considerable consultation as committees have discussed and revised terms of reference to implement the recommendations. The GFC Executive Transition Committee, which was tasked with ensuring the implementation of the recommendations, has provided guidance and advice as this work unfolded.

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In January 2019, the Transition Committee reported to GFC Executive that the vision of the ad hoc committee regarding program approval pathways could not be achieved within the current committee structure, and recommended that GFC Executive establish an ad hoc Committee on Program Approval Processes to conduct further consultation with stakeholders and develop more suitable pathways for program approval.

The ad hoc Committee on Program Approval Processes was mandated to propose revised pathways that are transparent, straightforward and incorporate the recommendations of the ad hoc committee on Academic Governance including Delegated Authority.

The ad hoc committee is coming forward at this time to consult on a proposal for a new process of program approval at the university that consolidates approval functions that currently reside in various committees and policy processes. This draft proposal represents a significant departure from current practice but one that could potentially provide a cohesive, transparent, and streamlined approach to the process. In the proposed pathway, all components (except resources) of new and revised programs would come to a single committee for approval.

The attached briefing note explains the principles the committee used to frame the development of a new process and the resulting outcomes.

The proposal calls for the establishment of a new committee – the GFC Programs Committee. This committee's mandate would consolidate work currently under the responsibilities of Academic Planning Committee, Academic Standards Committee, Executive Committee and the process of GFC Policy Manual Section 37. The committee would have a clear governance focus and matters of an administrative nature would reside in the Provost's or Registrar's offices as appropriate.

Structurally, one new standing committee would be added to GFC, the Academic Standards Committee would be disbanded, and GFC Policy Manual Section 37 would be rescinded. Components of program approval would be removed from the terms of reference of APC and Executive. APC would continue to deal with proposals with institution wide implications to the university's longer term academic, research, financial, and facilities development.

Operationally, proposals would receive early support by the Provost's and Registrar's offices during the development stages which will avoid some of the complications seen in the current system of approval which result in slowing the progress of approval, and/or put an additional workload burden on units. Approval would be streamlined as one committee would have delegated authority to approve the various components rather than the current multi-step process. Additionally,

	proposals which have impact beyond a single faculty would be identified early and appropriate consultation could occur in a timely fashion.
	Questions for Discussion:
	1. What are your thoughts on establishing a Programs Committee to consolidate program approval functions in one place?
	2. Is the authority delegated to the GFC Programs Committee in keeping with the GFC Principles of Delegation of Authority that calls for delegations to be reasonable in scope and appropriate to the character and capacity of the body?
	3. What challenges do you see with the proposed process?
	4. What benefits do you see with the proposed process?
Supplementary Notes and context	*Through the Consultation Process to date, the following points have been discussed:* • *the role of the Associate Deans (currently members of GFC ASC) and where their expertise would be best positioned* • *for the governance process to be well supported by an administrative committee* • *communication between administrative and governance committees* • *workload implications for the proposed governance committee* • *asymmetry between graduate and undergraduate programs and implications to approval processes* • *the timeliness of having an administrative support committee to weigh in on proposals* • *determining substantial or minor changes near the beginning of the approval process* • *the importance of student representation on the administrative support committee* • *the potential to create a toolkit to include and evaluate indigenous, and equity, diversity and inclusivity (EDI) content in program proposals* • *the ideal size of the new Programs Committee* • *approval for non-credit programs and the need for non-credit expertise on the committee* • *the potential addition of a support staff member familiar with the operational side of programs* • *the process for selecting appointed members and the GFC Nominating Committee's mandate to ensure EDI and broad representation across the university*

Engagement and Routing (Include proposed plan)

Consultation and Stakeholder Participation	Early Consultation GFC Academic Standards Committee (ASC) - Sep 19/19

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	GFC Academic Planning Committee (APC) - Sep 25/19 Vice-Provost's Program Advisory Committee of Associate Deans Undergraduate – September 26, 2019 Policy Review Committee, Faculty of Graduate Studies and Research – October 2, 2019 GFC ASC Subcommittee on Standards (ASC SOS) - Oct 3/19 GFC Executive Committee (Exec) - Oct 7/19 General Faculties Council (GFC) - Oct 21/19 Discussion ASC - Oct 17/19 APC - Nov 27/19 GFC Executive's Transition Committee - Jan 8/20 Exec - Jan 13/20 APC and ASC SOS joint meeting - Jan 15/20 ASC - Jan 16/20 Faculty of Graduate Studies and Research Council - Jan 22/20 GFC - Jan 27/20

Strategic Alignment

Alignment with *For the Public Good*	Objective 21	
Alignment with Institutional Risk Indicator	Please note below the specific institutional risk(s) this proposal is addressing.	
	☐ Enrolment Management ☐ Faculty and Staff ☐ Funding and Resource Management ☐ IT Services, Software and Hardware ☒ Leadership and Change ☐ Physical Infrastructure	☐ Relationship with Stakeholders ☐ Reputation ☐ Research Enterprise ☐ Safety ☐ Student Success
Legislative Compliance and jurisdiction	*Post-secondary Learning Act* General Faculties Council GFC Executive Committee GFC Principles of Delegation of Authority GFC Principles of Committee Composition	

Attachments (each to be numbered 1 - <>)

1. Attachment 1: Draft of Proposed GFC Programs Committee Terms of Reference
2. Attachment 2: Terms of Reference – GFC Executive ad hoc committee on Program Approval Processes

Prepared by: Provost's Office and University Governance

1. **Mandate and Role of the Committee**
   The GFC Programs Committee is a standing committee of General Faculties Council (GFC) charged with oversight on matters related to programs of study and courses.

2. **Areas of Responsibility**
   a.   Introduction, modification and termination of programs and courses
   b.   Admission, Transfer and Academic Standards
   c.   Physical Testing and Immunization of Students
   d.   Non-Credit Programs and Courses

   All proposals for consideration of the Committee are first submitted to the Provost and Vice-President (Academic) and/or the Faculty of Graduate Studies and Research who will consult as necessary with Faculties and other individuals and offices in its consideration of these proposals.

3. **Composition**
   Voting Members (21)
      Ex-officio (5)
   - Provost and Vice-President (Academic)
   - Vice-Provost and Dean (Faculty of Graduate Studies and Research)
   - Vice-Provost and University Registrar
   - Vice-President (Academic), Students' Union
   - Vice-President (Academic), Graduate Students' Association

      Elected by and from GFC (8)
   - Five (5) academic staff (A1.1, 1.5, 1.6, 1.7)
   - One (1) non-academic staff at large (S1.0)
   - One (1) undergraduate student
   - One (1) graduate student

      Appointed (8)
   - One (1) representative from the Faculty of Arts
   - One (1) representative from the Faculty of Science
   - One (1) representative from the Faculties of Law, Medicine and Dentistry, Nursing, Pharmacy and Pharmaceutical Sciences, Rehabilitation Medicine or the School of Public Health
   - Two (2) representatives from the Faculties of Augustana, Native Studies, Extension, Kinesiology, Sport and Recreation, and/or Faculte Saint-Jean
   - Two (2) representatives from the Faculties of Agricultural, Life and Environmental Sciences, Business, Engineering and/or Education
   - Vice-Provost, Indigenous Programming and Research

   Non-voting Members
   - Student Ombuds
   - Associate Dean, Office of the Dean of Students
   - Faculty of Extension delegate (Continuing and Professional Education)
   - University Secretary
   - GFC Secretary

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4. Delegated Authority from General Faculties Council
Should be reviewed at least every three years and reported to GFC.

   4.1   Introduction, modification and termination of programs and courses
   a. Approve the introduction and modification of academic programs
   b. Approve the termination of academic programs and report to GFC and APC for information.
   c. Approve the introduction, modification and termination of embedded certificates
   d. Approve the introduction, modification and deletion of courses
   e. Approve new course designators

   4.2   Admission, Transfer and Academic Standing Regulations
   a. Approve routine changes to admission/transfer and academic standing regulations
   b. Approve changes to International Baccalaureate (IB) and Advanced Placement (AP) regulations
   c. Approve (for inclusion in the Alberta Transfer Guide) and deny courses for transfer credit to the University of Alberta which are offered by Alberta Council on Admissions and Transfer (ACAT) member institutions and institutions within the Alberta Postsecondary Six-Sector Model with specific exceptions outlined in the Transfer Credit Articulation Procedure.
   d. Approve routine changes to Physical Testing and Immunization of Students

   4.3   Non-Credit Programs and Courses
   a. Approve the establishment of non-credit programs and associated courses
   b. Decide on any challenge made to non-credit courses which the Provost and Vice-President (Academic) has been unable to resolve.

5. Responsibilities Additional to Delegated Authority

   5.1   Introduction, modification or termination of programs and courses
   a. Review and recommend program suspensions to APC

   5.2   Admissions, Transfer, and Academic Standards
   a. Recommend to GFC on policies regarding admission, registration, academic standing
   b. Recommend to GFC on changes to admissions, transfer and/or academic standards regulations with institutional scope
   c. Receive and discuss the Report of the Senate Committee of Lay Observers of the Admissions Process in Quota Programs

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

   6.1   Introduction, modification or termination of programs and courses
   a. *Academic Programs – Graduate Degree Specializations -* All proposals for establishment, suspension and termination of graduate degree second level specializations shall be submitted to the Dean of the Faculty of Graduate Studies and Research. The Dean, after consultation, may approve proposals which do

not involve base operating or capital funds; the Dean will report these on an annual basis to the Programs Committee.

6.2 <u>Non-Credit Programs and Courses</u>
a. Approval of modification or deletion of non-credit programs and courses is sub-delegated to the Provost and Vice-President (Academic) who will report these on an annual basis to the Programs Committee.

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

7.1 <u>Academic Programs</u>
a. In cases where a new program represents a new credential for the university, final approval resides with GFC and the Board of Governors
b. Proposals which involve new space or resources or affect long-range planning shall be referred to the GFC Academic Planning Committee

7.2 <u>Admission, Transfer and Academic Standards</u>
a. Substantial changes and those with institutional scope are recommended to GFC

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

9. Definitions
<u>Program</u> - refers to all credit programs that result in a government approved credential including: degrees, diplomas and certificates

<u>Non-Credit Program</u> – refers to stand-alone programs for professional development and continuing education.

<u>Embedded Certificate</u> – refers to a credit program with a specific area of focus that is completed during the course of an undergraduate or graduate degree program

<u>Routine</u> - refers to proposals which do not involve or affect other Faculties or units and do not form part of a proposal for a new program. Routine changes include any and all changes to the wording of faculty or program specific admissions or academic standing regulations.

<u>Substantial</u> - refers to proposals which involve or affect more than one Faculty or unit; are part of a proposal for a new program; are likely to have a financial impact; represent a definite departure from current policy; involve a quota; articulate a new academic concept.

<u>Dispute</u> - If there is any dispute or question as to which of the above categories a proposal falls under, the Provost and Vice-President (Academic) (or delegate) will decide.

<u>Academic staff</u> – as defined by the <u>Recruitment Policy (Appendix A) Definition and Categories of Academic Staff, Administrators and Colleagues</u>

10. **Links**
   Admissions Policy
   Transfer Credit Articulation Procedure
   Undergraduate Admissions Procedure

   Academic Standing Policy
   Academic Standing Regulations Procedure

Approved by General Faculties Council:

<u>GFC Executive Committee *ad hoc* committee on Program Approval Processes</u>

<u>Purpose</u>:

To review current approval processes and propose revised pathways that will be transparent, straightforward and will incorporate the recommendations of the report of the *ad hoc* committee on Academic Governance including Delegated Authority, and other issues that have arisen since the report was endorsed by GFC.

<u>Suggested Composition</u>:

Vice-Provost (Programs), as Chair
One member of the GFC Academic Planning Committee
One member of the GFC Academic Standards Committee
One student member
One representative from the Faculty of Graduate Studies and Research
One representative from the Registrar's Office

Resource members: University Governance, others as required

The *ad hoc* committee may add to its membership as it deems necessary.

<u>Meetings</u>:

The *ad hoc* committee will meet once or twice a month until completion.

Guests will be invited to attend as required. Other consultation activities will be determined by the *ad hoc* committee.

<u>Terms of Reference</u>:
1. To consider the current program approval process, the recommendations of the ad hoc committee (see item 5 below), and input from GFC standing committees and other stakeholders related to:
    · Approval, modification, suspension and termination of programs
    · Consideration of alternate pathways for graduate programs
    · Consideration of pathways for Centre collégial de l'Alberta (CCA) programs
    · Approval, modification and termination of non-credit programs
    · GFC Policy Manual, Section 37: course and minor program changes (including service courses)
    · Other delegations related to programs and courses within GFC standing committee terms of reference (such as: approval of courses for new programs, course designators, course renumbering)

2. To develop pathways for program approval that are consistent with GFC Principles and principles of collegial governance

3.   To recommend revisions to GFC standing committee terms of reference and GFC policy to reflect proposed pathways.

4.   To identify further steps (ie administrative delegations, faculty councils, UAPPOL).

5. An implementation plan for the following 5 recommendations from the ad hoc Committee on Academic Governance including Delegated Authority will constitute part of the ad hoc committee's activities:

·   That, over the next year, the ASC Subcommittee on Standards be charged with reviewing and revising the policy on course and minor program changes (recommendation 16)

·   That the delegated authority to ratify new course designators and to approve re-numbering of courses move from the Executive Committee to the Academic Standards Committee (recommendation 17)

·   That the Academic Standards Committee review and approve courses associated with new program, subject to challenge through normal course circulation process (recommendation 19)

·   That the Academic Standards Committee be given delegated authority to approve the establishment, termination, and changes to college level diploma and certificate programs from the Centre collegial de l'Alberta; those requiring additional funding and/or space would be recommended to the Academic Planning Committee for approval (recommendation 20)

·   That further works and consultation occur with FGSR and Governance to develop a proposal for approval pathways that recognizes the unique nature of the Faculty (recommendation 43)

Timeline:

Final recommendations to be submitted no later than April 30, 2020

Established by GFC Executive Committee January 14, 2019

Item No. 10

Governance Executive Summary
Discussion Item

Agenda Title	Student Rights and Responsibilities Resource

Item

Proposed by	Akanksha Bhatnagar, President, UASU
Presenter	Akanksha Bhatnagar, President, UASU

Details

Responsibility	General Faculties Council
The Purpose of the Proposal is (please be specific)	The proposal is before GFC to gain feedback on a planned approach to improving students' awareness of their rights and responsibilities in the context of University Policy.
Executive Summary (*outline the specific item – and remember your audience*)	Surveys done at the University of Alberta Students' Union indicate that there is a widespread lack of awareness of key policies that outline student rights and responsibilities.

Several Canadian universities (e.g. McGill, McMaster, Bishop's, and Trent) publish Charters of Student Rights or comparable resources. These resources consolidate student rights and responsibilities for ease of access and greater awareness, creating a culture of improved clarity and accountability. A strong example of a preamble from McGill, linking to further explanations and authoritative policy documents: **Student Rights and Responsibilities Inside and Outside the Classroom**

"McGill places a great deal of importance on honest work, the art of scholarship, and the fair treatment of all members of the University community. This website provides students and teaching staff with a solid understanding of their personal and academic rights and responsibilities, guidelines for doing honest work and detailed information about both the disciplinary process and the dispute resolution process at McGill.

A solid understanding of your rights and responsibilities can keep you out of trouble and ensure that all your dealings with McGill faculty, staff and students are fair and respectful.

If you have questions about your personal or academic rights or responsibilities and can't find an answer on this site, feel free to contact the Office of the Dean of Students with your inquiry.

Please note that this website is intended as an informal, unofficial guide to students' rights and responsibilities. For a list of University Policies and Regulations, click here."

GFC Executive Committee is asked to consider the following question.

- *To what extent would the McGill model be a suitable choice for improving campus-wide awareness of students' rights?*

- *What specific sections would be appropriate for a similar document at the University of Alberta?* |
| Supplementary Notes and context | *<This section is for use by University Governance only to outline governance process.>* |

Item No. 10

Engagement and Routing (Include proposed plan)

Consultation and Stakeholder Participation	*Those who are <u>actively participating</u>:* ● University of Alberta Students' Union (UASU) *Those who <u>have been consulted</u>:* ● Office of the President ● Office of the Provost ● Office of the Dean of Students ● University Governance ● University of Alberta Students' Council ● Graduate Students' Association Executives ● GFC Committee on the Learning Environment (December 4, 2019) ● GFC Executive (December 9, 2019) ● GFC Academic Planning Committee (December 11, 2019) ● GFC Academic Standards Committee (January 16, 2020) ● General Faculties Council (January 27, 2019)

Strategic Alignment

Alignment with *For the Public Good*	Objective 19, strategy III: "Endorse a strong culture of safety awareness, knowledge, planning, and practice to ensure the safety of students, employees, and visitors to our campuses." Objective 21, strategy I: "Encourage transparency and improve communication across the university through…substantive and timely communication of information…" Objective 21, strategy IV: "Facilitate easy access to and use of university services and systems, reduce duplication and complexity…"		
Alignment with Core Risk Area	Please note below the specific institutional risk(s) this proposal is addressing.		
	☐ Enrolment Management ☐ Faculty and Staff ☐ Funding and Resource Management ☐ IT Services, Software and Hardware ☐ Leadership and Change ☐ Physical Infrastructure		☐ Relationship with Stakeholders ✗ Reputation ☐ Research Enterprise ☐ Safety ✗ Student Success
Legislative Compliance and jurisdiction	Alberta Post-Secondary Learning Act ● "The students association…shall provide for the administration of student affairs at the public post-secondary institution, including … the promotion of the general welfare of the students" (PSLA s. 93 (3)). ● "The council of a student organization is the official channel of communication between the students of a public post-secondary institution… and the board" (PSLA s. 95 (4)).		

Attachments (each to be numbered 1 - <>)

1. Educating Students on Rights and Responsibilities Paper (pages 1 - 7)
2. Student Rights and Responsibilities Draft (pages 1-3)

Prepared by: Jonathan Olfert, Director of Research and Advocacy, UASU, jonathan.olfert@su.ualberta.ca

Educating Students on Rights and Responsibilities

Prepared for President Akanksha Bhatnagar, July 26, 2019

Overview

At the University of Alberta, policies give students specific rights and responsibilities. Examples include procedural fairness and natural justice in the context of academic and non-academic appeals. Some of these rights, while referenced in policy, may not be defined or explained in accessible ways. Students must search out answers reactively, policy by policy, with implications for their security and/or academic standing.

To solve this problem, several Canadian peer institutions have implemented a charter of rights and responsibilities as a consolidated, 'one-stop' resource. We call on university administration to develop a document that will more clearly, proactively inform students of their rights and responsibilities. This could take the form of a plain-language, explanatory reference document that guides students to and through all appropriate policies.

Observing the Problem

The Students' Union has found that students of all demographics and years of study tend to be unfamiliar with the substance of central UAlberta policy documents, such as the Code of Student Behaviour and the Grading Policy and Procedure. Many students do not know how to access information on how to make an appeal when they are accused of breaking a UAlberta policy. It is necessary for students to understand what constitutes an offense, how to seek support or further information, and how to appeal if an allegation arises. Students also require the guarantee of a safe campus, so they also need to understand their rights when other members of the campus community put their safety at risk.

Other post-secondary institutions in Canada, particularly McGill, McMaster, Bishop's, and Trent, have built a charter of rights and responsibilities (or equivalent documents under another name). A charter serves as a consolidated document of all of a student's rights and responsibilities at a university. Many of these post-secondary institutions have launched strong campaigns to ensure each student is made aware of the charter's existence, and to motivate them to take ownership in reading the material. This process puts student rights and responsibilities front-of-mind for both students and other members of the university community, creating a culture of improved clarity and accountability.

Rights at the University of Alberta

Students' rights and responsibilities are spread across several university policies, and generally fall under one or more categories of *academic, procedural and fundamental rights*.

- Academic rights relate to student assessment, grading, plagiarism, grade appeals, and academic accommodations.[1]
- Procedural rights involve student discipline, which can be either academic or non-academic, as well as rights and responsibilities related to complaints and appeals processes.[2]
- Fundamental rights include all rights afforded by federal and/or provincial legislation, including protections from discrimination and harassment.[3]

In an exploratory study completed in November 2017, the Students' Union collected 1721 responses to understand students' perception, experience, and awareness of their rights and responsibilities. Notable conclusions from the survey are as follows. Representative student quotes have been included.

Awareness of rights and responsibilities

58% of respondents indicated they "did not know much" or "did not know anything at all" about their rights and responsibilities, and very few respondents were confident they knew a lot.

Of the five main policies outlining student rights and responsibilities, students were most aware of the Code of Student Behaviour (78%) and the Grading Policy and Procedure (60%).

Students reported reduced awareness of the Sexual Violence Policy (43%), the Ethical Conduct and Safe Disclosure Policy (38%), and the Discrimination, Harassment, and Duty to Accommodate Policy (34%).

10% of students were unaware of any of these documents.

"I felt especially powerless because I was going up against the Dean of my faculty who had complete control over what was going to happen to me. I felt weak and vulnerable. I would have liked to know about other options and all of the potential outcomes."

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[1] Academic rights afforded to students at the University of Alberta can be found in, among other resources, the University of Alberta Calendar and the Assessment and Grading Policy and Procedure. (This includes the Assessment and Grading Policy, Grading Procedure and Access to Evaluate Course Material Procedure.)

[2] Procedural rights afforded to students at the University of Alberta can be found in, among other resources, the Code of Student Behaviour, the Ethical Conduct and Safe Disclosure Policy, and the Discrimination, Harassment, and Duty to Accommodate Policy.

[3] Fundamental rights afforded to students can be found in, among other resources, the Sexual Violence Policy and government legislation, such as the Charter of Rights and Freedoms.

Awareness of who to approach for necessary information
When asked who they would approach to get information on their rights and responsibilities, students did not steer towards one common information source. 32% chose the Students' Union, 22.0% chose university administration, and 20% chose an individual officer, academic staff member, or specialized office.

"I would like my RA to be more informed. It was his fault."

"I was kinda dragged through the dark."

Accessibility of information
While slightly less than half of respondents knew where to find information on their academic rights and responsibilities, 40% of respondents had no knowledge of where to look.

"I wish I had known I was doing something wrong beforehand."

"As a trans person, it has been extremely difficult to change names on documents and in the various systems at the university. Having my legal name appear on transcripts and fee documents, among other things, is dangerous and can affect what I decide to do as far as employment or seeking scholarships, as this outs me immediately. There is also lots of conflicting information regarding what one can and cannot do as far as name change in various locations."

Awareness
About 60% of students were unaware of the disciplinary appeal process and how to find necessary information. First-year students were significantly more likely to indicate a lack of knowledge of information sources on academic rights and responsibilities. By contrast, fourth-year students were more likely to claim no knowledge of procedural rights and responsibilities. In a separate study (the SU annual survey, December 2018, 5042 points of contact), students indicated generally low confidence in being able to access the Office of the Student Ombuds. Disparities were also noted:
- Students with disabilities and non-binary students were far more likely than other students to have low confidence in being able to access the Ombuds.
- Men, especially straight men, were more likely than women to feel confident about accessing the Ombuds.
- The LGBTQ2S+ student body and Indigenous students felt low confidence about accessing the Ombuds.

"There was a group that came to talk with us at the beginning of the year...but I don't remember the name. Ompra? Umbra?"

Student Involvement in the Disciplinary Process

Slightly less than half of students involved in disciplinary proceedings at the university feel that the process educated them about their rights and responsibilities, and felt they didn't have access to the information they needed. Before starting the disciplinary proceedings, a sizable number of students lacked knowledge of their rights and responsibilities. Only a fifth of respondents felt like they had *some* knowledge. Over a third of students found it difficult to find the necessary information to file a complaint.

[Question: What additional information or resources would have helped you go through your disciplinary process?] "If all of the information could be found in one place."

Students deserve greater confidence in knowing their rights and responsibilities, and students also deserve to have confidence in knowing who to approach for information, and where to find the information. While students are aware of the existence of certain policies (i.e. the Code of Student Behaviour), more must be done to ensure students are familiar with the content found in each policy. Most students are unfamiliar with the content of, among other documents, the Sexual Violence Policy, the Ethical Conduct and Safe Disclosure Policy, and the Discrimination, Harassment, and Duty to Accommodate Policy. Most students involved in disciplinary proceedings do not have adequate knowledge on their rights and responsibilities before, during, and after the process.

"[The faculty] had all the power, instead of the student who did not get a chance to explain anything."

Academic Rights and Responsibilities

The Students' Union has undertaken research on the current state of students' rights at the University of Alberta, and how it compares to McGill, McMaster, Bishop's and Trent (post-secondary institutions with a charter). Below are several documents that establish academic and procedural rights at UAlberta, and an example of why each policy is important to a student.

University of Alberta Calendar

- **Example:** If a student fails a course but received a GPA of 2.0 or higher in their term (inclusive of that failed course), they may apply for a reexamination of that course. This is only permitted when the final exam was worth 40% or higher.
- **Consequences:** A student unaware of the policy does not apply for reexamination, and fails the course.

"At times I have wanted to appeal grades but had difficulty. The pathway of escalation is confusing, especially in courses with TAs, instructors, coordinators, etc. It would be nice if instructors provided the pathway of escalation as well as instructions for each stage to make it easier for students. I don't have time during the semester to figure that all out."

Assessment and Grading Policy and Procedures
- **Example:** Students have the right to access past or representative evaluative course material for final exams and for assignments or tests that account for 30% or greater of a student's final grade.
- **Consequences:** A student struggling to prepare adequately for a final examination has access to material reflective of the final examination and achieves a higher mark.

"Although profs advertise the accessibility services and exam accommodations, they sometimes act as if this is unnecessary, and that the main reason people use these services is because they "don't know how to study.""

Procedural Rights and Responsibilities

The Code of Student Behaviour
- **Example:** To consult an advisor and to be accompanied by that advisor; to understand the reasoning for any decision made against them; to understand the difference between reasonable doubt and balance of probabilities.
- **Consequences:** A student understands they have supports available during disciplinary proceeding, and can use all their available supports to make a strong case.

"It was a terrible and frightening experience no student should have to go through. The professor I consulted was outraged by my treatment."

"I was very scared and unsure of what was going to happen as this incident was in my first year. I have told nobody about my discipline and it still haunts me to this day. It would be nice to see more support for students after who make an honest mistake and are punished academically for it. I felt very lost and on edge for a long period of time after the incident."

Ethical Conduct and Safe Disclosure Policy
- **Example:** All members of the university community who believe that they have been unjustly treated have the right to make a safe disclosure, which means that the individual's identity is protected. Those individuals may not be subject to punitive actions for making a good faith disclosure.
- **Consequences:** A student may not know they are allowed to have their identity protected if they are to make a complaint, and may decide to not make the complaint.

"For what my complaint was about, it should have been a simple process. I had a group of 20 willing to complain with me, but the process was so intimidating and daunting everyone dropped it."

Fundamental Rights and Responsibilities
Discrimination, Harassment, and Duty to Accommodate Policy

- **Example:** Students with disabilities have the right to apply to Student Accessibility Services to receive accommodations for their disability. If the student is not granted their requested accommodation, they have the right to appeal the decision to a panel comprised of representatives from the student's faculty and from the Office of the Dean of Students.
- **Consequences:** A student with a disability does not appeal the decision, even though they may be entitled to the accommodation.

"My accessibility advisor and I haven't had a lot of luck getting notes ahead of time to get the slides beforehand...I get 'I'm editing the slides.'"

"I actually have reserved seating but have found that I can't use this accessibility service because of the classroom environment."

Sexual Violence Policy

- **Example:** The university has the power to impose interim, non-disciplinary measures onto a respondent under the Sexual Violence Policy to accommodate the complainant during the disciplinary process and before a verdict has been reached. These measures exist to ensure the safety of the complainant, preventing retaliation against them, or to minimize disruption to the complainant's learning environment.
- **Consequences:** A survivor is unaware that if they report the crime immediately, the university may apply interim measures to ensure the offender takes a different class schedule, changes their university residence, and/or receives increased monitoring and supervision, so the survivor and offender don't interact in the same space.

Unfamiliarity with even one or two of these documents, as well as many others, could have a serious impact in specific cases. Students need a centralized resource that clearly directs them to all of their rights and responsibilities.

"The university's approach was heavy-handed. I wasn't given info about my rights until after my original hearing and I was denied a defense."

Universities that have adopted a charter have seen students become proactive in learning their rights and responsibilities ahead of time. For instance, the Students' Society of McGill University (SSMU) has a *Know Your Rights Campaign* twice a year, meant to teach students about their rights on campus under the charter. SSMU also creates working groups that incorporate community feedback on policy review, and directs students on how to recommend policies directly to their faculty or department. At Bishop's, the 'Committee on Life' is charged with the responsibility of defending this charter, and students may propose amendments to the charter at any time through this committee.

How Can We Help?

Rights and responsibilities are intrinsic to the safety, quality, and fairness of the university experience. Students deserve access to an educational environment that follows the highest standards and gives them clear, accessible resources that help them avoid dangerous or compromising situations. Knowing one's rights helps accomplish these goals. A charter of rights and responsibilities would align with priorities found in "For the Public Good": to empower and enable each student to build, experience, excel, engage and sustain throughout their education. The Students' Union is willing to play an active or consultative role in drafting a charter of student rights and responsibilities, or any document which will serve a similar purpose. Such a document should be as authoritative as possible without extensive policy rewrites. These issues touch on the fiduciary duties of the UASU Executive Council, primarily the President, VP Student Life, and VP Academic.

Due to the survey results outlined above, we recommend that the university take a collaborative, proactive approach to educating students about their rights and responsibilities. UASU will continue helping students to take advantage of all the resources that will improve their security, peace of mind, and academic success.

Student Rights and Responsibilities

Last updated: January 21, 2020

<u>Preamble</u>

A positive, engaged student experience often depends on students being fully informed about their rights and responsibilities. Clear expectations and standards can protect students and help them avoid mistakes, misunderstandings, and serious problems during their time at the University of Alberta.

This document is meant to serve as a guide for undergraduate and graduate students, and create clarity about the authoritative resources that explain their rights and responsibilities. Within the scope of the University of Alberta's authority, diverse policies and procedures are the authoritative resources. As students' rights and responsibilities are spread throughout many policy documents, this document will serve as a *proactive* resource to help students avoid problems, and a *reactive* resource to help them navigate appeals and disciplinary processes in ways that produce the fairest possible results. Students should also find valuable insights into University policy through the <u>Office of the Student Ombuds</u>. In addition, faculty-specific standards and procedures can affect students' rights and responsibilities.

<u>Procedural Fairness</u>

- Procedural fairness encompasses a broad envelope of standards and best practices, including but not limited to accessibility, clear notice of rights and options, presumption of innocence, protection against intimidation, the right to prepare a full defense, the right to know what is at stake or what potential consequences might be, and lack of bias on the part of the decision-maker. Principles of procedural fairness apply to many decision-making processes that students encounter.

- Many principles of procedural fairness are outlined in section 30.1.1 of the <u>Code of Student Behaviour</u>. The University also affirms the right to procedural fairness in the <u>Sexual Violence Policy</u> and the <u>Ethical Conduct and Safe Disclosure Procedure</u>.

- The <u>Office of the Student Ombuds</u> is a key resource on how procedural fairness applies to the rights and responsibilities in this document.

<u>Academic Rights and Responsibilities</u>

- Section 30.3.2 of the <u>Code of Student Behaviour</u> outlines standards around <u>plagiarism and cheating</u>.

- Rights involving the structure of courses and <u>grading expectations</u> can be found in the <u>University Calendar Academic Regulations</u> under 'Course Requirements,

Evaluation Procedures and Grading.' The [Assessment and Grading Policy](#) and its procedures lay out binding principles for <u>fair, consistent assessment</u> and grading.

- The <u>right to appeal</u> marks, grades, and decisions affecting academic standing is found in the [University Calendar Academic Regulations](#), under 'Academic Appeals' and 'Grievances Concerning Grades.'

- The [Discrimination, Harassment and Duty to Accommodate Policy](#) and the [Research Policy](#) extend the <u>right of academic freedom</u> to all members of the University community, including students.

- The [Student Concerns and Complaints Policy](#) addresses the extent and limits of a student's <u>right to privacy</u> when submitting a complaint against a staff member or instructor.

<u>Personal Rights and Responsibilities</u>

- The [Code of Student Behaviour](#) both outlines the University's binding behavioural standards and protects students from others' inappropriate behaviour.

- Students' rights of <u>free speech and expression</u>, in keeping with the [Canadian Charter of Rights and Freedoms](#), are explained in the Principles on Free Expression. [link TBD]

- The [Posting Announcements, Notices and Banners Procedure](#) further affirms students' right of <u>free expression</u>: "Where a posting is lawful and compliant with University policies and procedures, content will not be a factor in determining approval of posting announcements, notices, and banners." Students who wish to post these materials are responsible for complying with the Procedure and associated guidelines.

- The [Discrimination, Harassment and Duty to Accommodate Policy](#) explains students' rights to a <u>dignified, respectful learning and working environment</u>; their options for reporting and recourse; and their right to accommodation based on protected grounds (e.g. race, religion, gender expression, disability, or political beliefs). It also provides thorough guidance on what constitutes discrimination or harassment.

- While not an absolute right, the [Registrar's Office](#) affirms that students have the option to use their <u>preferred name</u> and change their <u>gender designation.</u>

- The [Alcohol Policy](#) and its procedures deal with <u>safe alcohol consumption</u>, event safety, and alcohol consumption at <u>student group</u> events. Students and groups are responsible for safe consumption practices. The [Student Groups Procedure](#)

details responsibility around prohibited or risky conduct in the context of student groups and events.

- All students involved in non-academic misconduct complaints, either as complainants or accused, have a right to due process. The University enshrines the right to due process in, among other places, the Ethical Conduct and Safe Disclosure Procedure.

- The Access to Information and Privacy Policy and its procedures outline how the University will protect and use students' personal information, and how students can access information about themselves.

- The Canvassing and Solicitation Policy, sections 30.3.4-5 of the Code of Student Behaviour, and the Student Groups Procedure explain students' ability to campaign and approach others on campus. They also detail the rules that students can rely on when facing unwanted solicitation.

Rights Specific to Graduate Students

Supervisory Rights

- Graduate students have specific rights related to academic supervision and supervisory committees. These are outlined in the University Calendar under the Graduate Policy and Regulations and in the Graduate Student Program Manual, sections 1 and 8.

Intellectual Property Rights

- Graduate students' ownership of their work and intellectual property rights are discussed in multiple University policies, a list of which is available in the Intellectual Property Guidelines document. Section 10 of the Graduate Student Program Manual also discusses this topic.

Rights when Academically Employed

- Students employed as Graduate Teaching Assistants, Graduate Research Assistants, or Graduate Research Assistant Fellowship holders have rights associated with their employment. These rights are outlined in the Graduate Student Assistantship Collective Agreement.
- Additional rights related to graduate student employment are outlined in provincial legislation, including the Occupational Health and Safety Act and the Employment Standards Code.

General Faculties Council Standing Committee Report

GFC Executive Committee

1.   Since last reporting to GFC, the Executive Committee met on December 9, 2019, and January 13, 2020.

2.   Items Approved With Delegated Authority
December 9, 2019
   - Proposed New Course Designator of EDHS (Health Sciences Education), Faculty of Education
   - Proposed Changes to Composition of Faculté Saint-Jean Council
January 13, 2020
   - Proposed New Course Designator, MST (Media Studies), Faculty of Arts
   - Proposed New Course Designator, HGEO (Human Geography), Faculty of Science
   - Proposal from the Faculty of Engineering to add CH E 312, Fluid Mechanics, to the List of Courses with Consolidated Exams
   - Proposed Update to University Calendar Important Notice Section
   - Draft Agenda for the January 25, 2020 GFC Meeting

3.   Items Recommended to GFC
January 13, 2020
   - Proposed Increase to Minimum English Language Proficiency Entrance Requirement for Graduate Programs, Faculty of Graduate Studies and Research

4.   Early Consultation
December 9, 2019
   - Undergraduate Student Replenishment to General Faculties Council
January 13, 2020
   - Addition of Equity, Diversity and Inclusivity (EDI) language to UAPPOL Recruitment and Selection of Faculty and Staff Policy Suite
   - Effective Teaching and Learning: A Framework for Multifaceted Assessment

5.   Items Discussed
December 9, 2019
   - Student Rights and Responsibilities Resource
   - 2018/19 Annual Report of Student Conduct Responses, Dean of Students' Portfolio
January 13, 2020
   - Recommendations of the GFC Executive's ad hoc Committee on Program Approval Processes
   - Weapons on Campus and the Code of Student Behaviour
   - Question Period - Follow up to discussion on FGSR Standardized Report

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

Submitted by:
David Turpin, Chair
GFC Executive Committee

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

GFC Academic Planning Committee

1. Since last reporting to GFC, the Academic Planning Committee met on November 27 and December 11, 2019, and January 15, 2020.

2. <u>Items Approved with Delegated Authority from GFC</u>

December 11, 2019

- Proposed Changes to Entrance and Program Requirements for the Master of Arts in Communications and Technology, Faculty of Extension, and Faculty of Graduate Studies and Research
- Proposed Changes to Existing Entrance Requirements, Academic Standing Requirements and Program Requirements for Graduate Programs in Mathematical and Statistical Sciences, Faculty of Science, and Faculty of Graduate Studies and Research
- Proposed Changes to Existing Entrance Requirements, Academic Standing Regulations and Program Requirements for Graduate Programs in the Department of Surgery, Faculty of Medicine and Dentistry, and Faculty of Graduate Studies and Research
- Proposed Changes to Existing Program Requirements and Entrance Requirements for Medical Laboratory Science Programs, Faculty of Medicine and Dentistry
- Proposed Changes to Program Requirements for the Doctor of Dental Surgery (DDS) Advanced Placement Program, Faculty of Medicine and Dentistry

January 15, 2020

- Proposed Changes to Program Requirements for Graduate Programs in History and Classics, Faculty of Arts, and Faculty of Graduate Studies and Research
- Calendar Entry for the Éducation à la petite enfance-Niveau II Certificate Program and Éducation à la petite enfance-Superviseur Diploma Program, Centre Collégial de l'Alberta (CCA)
- Proposed Name Change for Certificates in Aboriginal Governance and Partnership

3. <u>Items Discussed</u>

November 27, 2019

- Consultation on Program Approval Processes
- Quality Assurance (QA) Suite of Activities: 2018-2019 Excerpted QA Reports from the Faculty of Arts, Faculty of Science, Faculty of Medicine and Dentistry, Faculty of Nursing, Faculty of Engineering, and the Centre for Teaching and Learning (CTL)
- 2018-19 Mandatory Non-Instructional Fees (MNIFs) Annual Report
- Budget Update (Standing Item)

December 11, 2019

- Student Rights and Responsibilities Resource
- Budget Update (Standing Item)

January 15, 2020

- Recommendations of the GFC Executive's ad hoc Committee on Program Approval Processes
- Report on Graduate Degree (Second-Level) Specializations
- Annual Report on Undergraduate Enrolment 2019-20
- Performance Metrics Update
- Budget Update (Standing Item)

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

Submitted by:
Steven Dew, Chair
GFC Academic Planning Committee

UNIVERSITY OF ALBERTA	GENERAL FACULTIES COUNCIL
UNIVERSITY GOVERNANCE	For the Meeting of January 27, 2020

Item No. 14

General Faculties Council Standing Committee Report

GFC Academic Standards Committee

1. Since last reporting to GFC, the Academic Standards Committee met on November 21 and December 12, 2019, and January 16, 2020.

2. Items Approved with Delegated Authority from GFC

November 21, 2019
- Transfer Credit Approvals for November 2019, Office of the Registrar
- Proposed Change to Admission Requirements, Faculty of Education
- Proposed Changes to Faculty Regulations for Field Experience, Faculty of Education
- Proposed Changes to Faculty Regulations for Graduation, Faculty of Education
- Proposed Changes to Admission Requirements, Faculty of Agricultural, Life and Environmental Sciences
- Proposed Changes to Existing Entrance Requirements and Academic Standing Regulations for Graduate Programs in Mathematical and Statistical Sciences, Faculty of Science, and Faculty of Graduate Studies and Research
- Proposed Changes to Existing Entrance Requirements and Academic Standing Regulations for Graduate Programs in Dentistry, Faculty of Medicine and Dentistry, and the Faculty of Graduate Studies and Research
- Proposed Changes to Existing Entrance Requirements and Academic Standing Regulations for the Master of Education in Health Sciences Education, Faculty of Education, and Faculty of Graduate Studies and Research
- Proposed Changes to Existing Entrance Requirements for Graduate Programs in Physics, Faculty of Science, and Faculty of Graduate Studies and Research
- Proposed Changes to Existing Entrance Requirements for the Master of Arts in Community Engagement, Faculty of Extension, and Faculty of Graduate Studies and Research
- Proposed Changes to Entrance Requirements for the Master of Arts in Communications and Technology, Faculty of Extension, and Faculty of Graduate Studies and Research
- Proposed Changes to Existing Entrance Requirements and Academic Standing Regulations for Graduate Programs in Human Ecology, Faculty of Agricultural, Life and Environmental Sciences and the Faculty of Graduate Studies and Research
- Proposed Changes to Existing Entrance Requirements and Academic Standing Regulations for Graduate Programs in the Department of Surgery, Faculty of Medicine and Dentistry, and Faculty of Graduate Studies and Research
- Proposed changes to Existing Registration and Program Requirements for Graduate Programs, Faculty of Graduate Studies and Research
- Proposal from the Faculty of Extension for a Non-credit Certificate in Social Media
- Proposed Changes to Existing Entrance Requirements for Medical Laboratory Science Programs, Faculty of Medicine and Dentistry
- Proposed Changes to Existing Entrance Requirements for the Bachelor of Science (Dental Hygiene) and Doctor of Dental Surgery (DDS) Programs, Faculty of Medicine and Dentistry
- Proposed Changes to Existing Entrance Requirements for Undergraduate Programs in the Faculty of Science
- Proposed Changes to Existing Admission Requirements for Exceptional Student Athlete Applicants, Faculty of Kinesiology, Sport, and Recreation
- Proposed Changes to Admission Decision Processes for Undergraduate Admissions, Office of the Registrar

December 12, 2019
- Transfer Credit Approvals and Denials for December 2019, Office of the Registrar

- Proposed Changes to Admissions Charts 4 and 5, International Baccalaureate and Advanced Placement Equivalents, Office of the Registrar
- Proposed Changes to Entrance Requirements and Graduation Regulations, Faculty of Nursing
- Proposed Changes to Entrance Requirements and Transfer Regulations for Undergraduate Programs in the Faculty of Agricultural, Life and Environmental Sciences
- Proposed Changes to Academic Standing Regulations for Undergraduate Programs in the Faculty of Agricultural, Life and Environmental Sciences
- Proposed Changes to Existing Entrance Requirements and Academic Standing Regulations for Graduate Programs in History and Classics, Faculty of Arts, and Faculty of Graduate Studies and Research
- Proposed Changes to Existing Academic Standing Regulations for PhD Programs in Mechanical Engineering, Faculty of Engineering, and Faculty of Graduate Studies and Research
- Proposal for a New Graduate Embedded Certificate in Maternal and Child Health Research, Faculty of Graduate Studies and Research, and Faculty of Medicine and Dentistry
- Proposed Changes to Academic Standing Regulations for Undergraduate Professional Programs in the Faculty of Medicine and Dentistry
- Proposed Changes to Entrance Requirements and Academic Standing Regulations for the Embedded Certificate in Interdisciplinary Leadership, Peter Lougheed Leadership College and the Faculty of Business
- Updates to Required English Language Proficiency (ELP) Scores for Undergraduate Admissions

January 16, 2020
- Transfer Credit Approvals for January 2020, Office of the Registrar
- Proposed Changes to Visiting Student Certificate Program Calendar Copy, Office of the Registrar
- Proposed Changes to Entrance Requirements for the Doctor of Dental Surgery, Advanced Placement Program, Faculty of Medicine and Dentistry
- Proposal from the Faculty of Extension for a Non-credit Certificate: Agrology Technologist Upgrade Certificate
- Proposed Changes to Language Assessment for Students Registered in the Bachelor of Education Program, Faculté Saint-Jean
- Proposed Changes to Entrance Requirements and Academic Standing Regulations for Undergraduate Programs in the Faculty of Arts

3. Items Recommended to General Faculties Council
November 21, 2019
- Proposed Increase to Minimum English Language Proficiency Entrance Requirement for Graduate Programs, Faculty of Graduate Studies and Research

4. Items Recommended to GFC Academic Planning Committee
November 21, 2019
- Proposed Changes to Existing Program Requirements for Graduate Programs in Mathematical and Statistical Sciences, Faculty of Science, and Faculty of Graduate Studies and Research
- Proposed Changes to Program Requirements for the Master of Arts in Communications and Technology, Faculty of Extension, and Faculty of Graduate Studies and Research
- Proposed Changes to Existing Program Requirements for Graduate Programs in the Department of Surgery, Faculty of Medicine and Dentistry, and Faculty of Graduate Studies and Research
- Proposed Changes to Existing Program Requirements for Medical Laboratory Science Programs, Faculty of Medicine and Dentistry
- Proposed Changes to Program Requirements for the Doctor of Dental Surgery (DDS) Advanced Placement Program, Faculty of Medicine and Dentistry
December 12, 2019
- Proposed Changes to Existing Program Requirements for Graduate Programs in History and Classics, Faculty of Arts, and Faculty of Graduate Studies and Research

5.   Items Discussed

November 21, 2019
- External Programs for Review and Programs in Progress on Campus (Standing Item)

December 12, 2019
- External Programs for Review and Programs in Progress on Campus (Standing Item)

January 16, 2020
- Student Rights and Responsibilities Resource
- Proposed Revisions to the University of Alberta Handbook on University Certificate Development
- Recommendations of the GFC Executive's ad hoc Committee on Program Approval Processes
- External Programs for Review and Programs in Progress on Campus (Standing Item)

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

Submitted by:
Tammy Hopper
Chair, GFC Academic Standards Committee

Item No. 15A
For the GFC Meeting of January 27, 2020
GFC NOMINATING COMMITTEE (NC)
REPORT TO GENERAL FACULTIES COUNCIL (GFC)

December 13, 2019

UNIVERSITY OF ALBERTA
UNIVERSITY GOVERNANCE

[CIRCULATION BY EMAIL]

Report of the GFC Nominating Committee (NC)

By means of the "*GFC NC Report to GFC*", the NC brings forward the name of a candidate recommended to fill a committee/panel membership position <u>for acceptance by GFC</u>, as final approver of all appointments to its Committees/university-level Appeal Bodies. Upon receipt and consideration of an NC Report *(sent electronically)*, a GFC member has the opportunity to submit an additional nomination.

To learn more about the NC reporting process, please view: "Current NC Reports to GFC"

For GFC and GFC Standing Committees Terms of References, please visit the University Governance "Member Zone". For judiciary governance details, please visit: University-level Appeal Bodies.

Nomination period ends at 12:00 pm (Noon) on Wednesday, December 18, 2019.

Upon conclusion, with no additional names received, the "NC Report of December 13, 2019" is considered <u>as approved</u>. Recommended candidates (as put forward by the NC) <u>are declared as elected</u>.

PLEASE REFER TO THE ATTACHED RECOMMENDATIONS (BY THE NC) WHICH SUPPORT THE <u>STAFF/STUDENT COMMITTEE MEMBERSHIP REPLENISHMENT</u> PROCESS.

Contact regarding GFC Nominations and Elections
Ann Hodgson (Coordinator, GFC Nominating Committee/Manager, Governance Operations)
Email: ann.hodgson@ualberta.ca | Tel: 780-492-1938

GFC Nominating Committee Report of Membership Recommendations to 2019-2020 GFC Standing Committees, University-level Appeal Bodies, and other University Committees to which GFC elects

GFC UNDERGRADUATE AWARDS AND BURSARIES COMMITTEE (UABC)

NC Recommendation to fill the following vacancy calling for:

> _ONE (1) Undergraduate Student (at-Large)_

Nominee	Faculty/Unit	Term Beginning	Term End
Tristan Sinnatamby	**Science**	**Immediately upon approval**	**April 30, 2020**

GFC UNIVERSITY TEACHING AWARDS COMMITTEE (UTAC)

NC Recommendation to fill the following vacancy calling for:

> _ONE (1) Academic Staff (A1.1, A1.5/A1.6, A1.7) (at-Large)_

Nominee	Faculty/Unit	Term Beginning	Term End
Christian Reyns-Chikuma	**Arts (Modern Languages & Cultural Studies)**	**Immediately upon approval**	**June 30, 2022**

U OF A MUSEUMS POLICY AND PLANNING COMMITTEE (MPPC)

NC Recommendation to fill the following vacancy calling for:

> _ONE (1) member of Continuing Academic Staff/Non-Academic Staff who are not designated academic curators of registered University of Alberta Museums Collections._

Nominee	Faculty/Unit	Term Beginning	Term End
Robert Smith	**Arts (History and Classics)**	**Immediately upon approval**	**June 30, 2022**

GFC ACADEMIC APPEALS COMMITTEE (AAC)

[§1.4.3 of GFC AAC Policy]

NC Recommendation to fill the following vacancy calling for:

> _ONE (1) Graduate student on the AAC Panel of Students-Graduate_

Nominee	Faculty/Unit	Term Beginning	Term End
Kate Rozendaal	**Graduate Studies and Research (EDUC)**	**January 1, 2020**	**April 30, 2021**

UNIVERSITY APPEAL BOARD (UAB)

[§30.6.3 OF COSB]

NC Recommendation to fill the following vacancy calling for:

> _ONE (1) Graduate student on the UAB Panel of Students-Graduate_

Nominee	Faculty/Unit	Term Beginning	Term End
Sarah Yamamoto	**Graduate Studies and Research (EDUC)**	**January 1, 2020**	**May 31, 2021**

NEW COMMITTEE MEMBERSHIP APPOINTMENTS

To positions on GFC Standing Committees, university-level Appeal Bodies and Other Committees to which GFC Elects

Upon conclusion of the GFC nomination period (ending November 19, 2019 at 12:00 pm), the candidates recommended by the (NC) are considered <u>endorsed by GFC</u> and **declared <u>as elected</u>.**

For approved terms of references/committee compositions, please visit the "Member Zone" located at the University Governance website and navigate to the relevant standing committee webpage.

Please see attached for a listing of newly elected members and relevant committees.

Thank You!

If you have any questions or require additional information, please contact me at your earliest convenience.

Ann Hodgson

Contact regarding GFC Nominations and Elections
Ann Hodgson (Coordinator, GFC Nominating Committee/Manager, Governance Operations)
Email: ann.hodgson@ualberta.ca | Tel: 780-492-1938

NEW MEMBERSHIP APPOINTMENTS TO GFC COMMITTEES ARE AS FOLLOWS:

GFC COMMITTEE ON THE LEARNING ENVIRONMENT (CLE)

Seat Filled / Membership Representation: Support Staff Representative (S1.0/S2.0)

Elected Candidate:	Faculty/Unit	Term Beginning	Term End
BORA KIM (S1.0)	**Medicine and Dentistry**	**Immediately upon approval**	**June 30, 2022**

COUNCIL ON STUDENT AFFAIRS (COSA)

Seat Filled / Membership Representation: Academic Staff (A1.1, A1.5/A1.6, A1.7) and GFC Member

Elected Candidate:	Faculty/Unit	Term Beginning	Term End
ALAN UNDERHILL (A1.1)	**Medicine and Dentistry**	**Immediately upon approval**	**June 30, 2022**

GFC FACILITIES AND DEVELOPMENT COMMITTEE (FDC)

Seat Filled / Membership Representation: Academic Staff (A1.0) and GFC Member

Elected Candidate:	Faculty/Unit	Term Beginning	Term End
DANIEL ROMANYK (A1.1)	**Engineering**	**Immediately upon approval**	**June 30, 2022**

GFC NOMINATING COMMITTEE (NC)

Seat Filled / Membership Representation: Faculty Dean

Elected Candidate:	Faculty/Unit	Term Beginning	Term End
BROOKE MILNE (D1.1)	**Graduate Studies and Research**	**Immediately upon approval**	**June 30, 2022**

GFC STUDENT CONDUCT POLICY COMMITTEE (SCPC)

Seat Filled / Membership Representation: Staff Member (A1.0, A2.0 and/or S1.0, S2.0)

Elected Candidate:	Faculty/Unit	Term Beginning	Term End
ADRIENNE WRIGHT (A1.3)	**Science**	**Immediately upon approval**	**June 30, 2022**

FACULTY OF EXTENSION - FACULTY COUNCIL

Seat Filled / Membership Representation: Academic Staff (A1.0) from outside the Faculty of Extension

Elected Candidate:	Faculty/Unit	Term Beginning	Term End
TAREK EL-BAILY (A1.1)	**Medicine and Dentistry**	**Immediately upon approval**	**June 30, 2022**

UNIVERSITY OF ALBERTA
UNIVERSITY GOVERNANCE

I am pleased to report on the following highlights of the Board of Governors' Open Session meeting held on December 13, 2019:

COMMENTS FROM THE CHAIR

The Board Chair indicated that, earlier in the meeting, the Board of Governors discussed and approved a motion endorsing administration's plans for the required in-year budget cuts for 2019-2020. She then noted that the work of the Presidential Search Committee was progressing. More information about the search can be found here: https://www.ualberta.ca/presidential-search.

REPORT OF THE PRESIDENT

The President provided a written report on his activities since October 18, 2019, including updates on the five strategic goals of *For the Public Good*: build; experience; excel; engage; and sustain. In addition to his written report, Dr Turpin provided verbal remarks on: plans for the January 24, 2020 Joint Summit of the Board, General Faculties Council, and the Senate; the October 31, 2019 budget campus forum and administration's efforts to deal with budget reductions including a change to the President's annual holiday party to focus on student financial aid; and recent and forthcoming senior leadership changes, including the resignation of Vice-President (Research and Innovation) Matthias Ruth; and the appointments of Interim Vice-President (Research and Innovation) Walter Dixon, Interim Vice-President (University Relations) and Chief of Staff Catherine Swindlehurst, Vice-Provost and University Registrar Melissa Padfield, and Dean of Law Barbara Billingsley.

DISCUSSION ITEMS

The Board received a briefing from Provost and Vice-President (Academic) Steven Dew and Vice-President (Finance and Administration) Gitta Kulczycki on budget reductions to the Campus Alberta Grant and the elimination of Infrastructure Maintenance Program funding (IMP) for 2019-20, plans to deal with these reductions, the development of a budget tool to analyse the interaction of revenue generation and expenditure reduction levers, and three high-level budget scenarios.

BOARD OF GOVERNORS' MOTION SUMMARY

On the recommendation of the Board Audit and Risk Committee, the Board of Governors approved the Protection of Minors Participating in University Programs Policy and its associated procedure.

On the recommendation of the Board Finance and Property Committee, the Board of Governors rescinded the following motions:
- on terms and conditions acceptable to the Vice-President (Facilities and Operations), the disposition via long-term lease for a term of 25 years with the option of a 25 year renewal, of approximately 0.28 acres of land contained within a parcel legally described as Lot D, Plan 7722357 located in the County of Parkland within the University of Alberta Botanic Garden; and application to the Minister of Infrastructure for the required approval of the Lieutenant Governor in Council for the granting of the disposition via long-term lease, originally approved by the Board of Governors on October 12, 2018;
- on terms and conditions acceptable to the Vice-President (Facilities and Operations), the disposition via long-term lease for a term of 25 years with the option of a 25 year renewal, of approximately 3.65 acres of land contained within the parcel legally described as L.S. 6 Sec. 18 Twp. 22 Rge. 14 W4M located in the county of Newell, Alberta within the University of Alberta's Mattheis Ranch; and application to the Minister of Infrastructure for the required approval of the Lieutenant Governor in Council for the granting of the disposition via long-term lease, originally approved by the Board of Governors on October 12, 2018;
- on terms and conditions acceptable to the Vice-President (Facilities and Operations), the disposition via Right-of-Way of less than one (1) acre of land contained within parcels legally described as the NW & SW ¼ Sec 18 Twp 22 Rge 14 W4M located in the County of Newell within the University of Alberta Mattheis Ranch; and application to the Minister of Infrastructure for the required approval of the Lieutenant Governor in Council for the granting of the disposition via Right-of-Way, originally approved by the Board of Governors on October 18, 2019;

On the recommendation of the Board Finance and Property Committee, the Board of Governors approved the transfer of $15 million additional funds to the University of Alberta 2019-20 Operating Budget, sourced from non-endowed investment income and the non-endowed investment reserve.

On the recommendation of the Board Learning, Research, and Student Experience Committee, the Board of Governors approved the new Student Financial Support Policy Suite and the concurrent rescission of the existing Awards and Bursaries for Students Policy Suite in UAPPOL.

On the recommendation of the Board Human Resources and Compensation Committee, Board Reputation and Public Affairs Committee, and General Faculties Council, the Board of Governors approved the Statement on Free Expression at the University of Alberta.

INFORMATION REPORTS

- Report of the Audit and Risk Committee
  - Internal Audit Services Charter
  - Current Accounting and Financial Reporting Issues
  - Briefing: Differences between Public Sector Accounting Standards (PSAS) and International Financial Reporting Standards (IFRS)
  - Learning Moment: Role of the External Auditor
  - Update from the University of Alberta Safety and Security Committee

- Report of the Finance and Property Committee
  - Collection of University of Alberta Students' Union 2019-20 Operating / Referendum Fees
  - Capitalization of Unrestricted Funds to Permanent Restricted Endowments Net Assets
  - Project Management Office - Quarterly Status Report
  - 2019-20 Budget Briefing
  - Interim Financial Review
  - Ancillary Fees Framework
  - Environmental Sustainability Update

- Report of the Governance Committee
  - Learning Moment: Alberta Public Agencies Governance Act Mandate and Roles Documents
  - Board Bylaws Update
  - Opportunities to Enhance Board Transparency: Request to Webcast Board meetings
  - *For the Public Good* Performance Indicators Report
  - Ongoing Opportunities for Board Member Development

- Report of the Human Resources and Compensation Committee
  - Pension and Retirement Plan Update
  - Indicators of Health and Disability Annual Report
  - Presentation by and Discussion with President of the Graduate Students' Association (GSA)
  - Presentation by and Discussion with President of the Post-doctoral Fellows Association (PDFA)

- Report of the Investment Committee
  - Portfolio Compliance – September 30, 2019
  - Cost Effectiveness of Investment Program – Annual Review
  - Portfolio Performance & Risk – September 30, 2019
  - Unitized Endowment Pool (UEP) Strategy Progress Report
  - Non-endowed Investment Pool (NEIP) Strategy Progress Report
  - 2020 University Funds Investment Policy & Asset Allocation Preliminary Plan
  - Enterprise-wide Risk Management Presentation
  - Non-Endowed Investment Pool – Income/Reserve Transfer

- Report of the Learning, Research and Student Experience Committee
  - Quality Assurance (QA) Suite of Activities: 2018-2019 Excerpted QA Reports from the Faculty of Arts, Faculty of Science, Faculty of Medicine and Dentistry, Faculty of Nursing, Faculty of Engineering, and the Centre for Teaching and Learning (CTL)
  - Annual Report on Undergraduate Student Financial Support and Accompanying Overview
  - Annual Report of the Appeals and Compliance Officer
  - Report from the Provost and Vice-President (Academic)
  - Report from the Vice-President (Research and Innovation)
  - Report from the Vice-Provost and Dean of Students

- Report of the Reputation and Public Affairs Committee
  - Appointment of Committee Vice-Chair
  - Portfolio Introductions - Advancement and University Relations
  - 2019-20 Committee Workplan (with Terms of Reference)
  - Presidential Transition
  - Senate Update

The Board also received reports from the Chancellor, Alumni Association, Students' Union (including 2018-19 Financial Statements), Graduate Students' Association, Association of Academic Staff of the University of Alberta, Non-Academic Staff Association, General Faculties Council, and the Board Chair.

Prepared for: Katherine Binhammer, GFC Representative on the Board of Governors

By: Erin Plume, Assistant Board Secretary

Please note: official minutes from the open session of the December 13, 2019 Board of Governors' meeting will be posted on the University Governance website once approved by the Board at its March 13, 2020 meeting: https://www.ualberta.ca/governance/member-zone/board-of-governors/board-minutes.

Item No. 17A

Governance Executive Summary
Advice, Discussion, Information Item

Agenda Title	2018/19 Annual Report of Student Conduct Responses, Dean of Students' Portfolio

Item

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

Details

Responsibility	Provost and Vice-President Academic
The Purpose of the Proposal is (please be specific)	The proposal is before the committee to provide the GFC Student Conduct Policy Committee (SCPC) with the annual report on student conduct across the Dean of Students' portfolio for the 2018/19 academic year.
Executive Summary (*outline the specific item – and remember your audience*)	This report, required by the SCPC Terms of Reference, 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 *Residence Community Standards*, the Breach of Residence Agreement, *Augustana Community Standards,* the *Code of Student Behaviour,* the *Protocol for Urgent Cases of Disruptive, Threatening or Violent Conduct (Protocol 91),* the *Sexual Violence Policy,* and the *Student Groups Procedure.*
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	• GFC SCPC, October 24, 2019 (for discussion)
	• GFC Executive Committee, December 9, 2019 (for discussion)
	• General Faculties Council, January 27, 2020 (for information)
	• Board Learning, Research & Student Experience Committee, February 14, 2020 (for discussion)

Strategic Alignment

Alignment with *For the Public Good*	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 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 Core Risk Area	Please note below the specific institutional risk(s) this proposal is addressing.	
	☐ Enrolment Management ☐ Faculty and Staff ☐ Funding and Resource Management ☐ IT Services, Software and Hardware ☐ Leadership and Change ☐ Physical Infrastructure	☐ Relationship with Stakeholders ☒ Reputation ☐ Research Enterprise ☒ Safety ☒ Student Success

Item No. 6

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, Research & Student Experience Committee (BLRSEC) Terms of Reference

Attachments (each to be numbered 1 - <>)

1. 2018/19 Annual Report of Student Conduct Responses, Dean of Students' portfolio (pages 1 - 13)

Prepared by: <Deb Eerkes, Director, Student Conduct & Accountability, deerkes@ualberta.ca>

2018/19 Annual Report of Student Conduct Responses

Dean of Students' Portfolio
2018- 2019 Academic Year

UNIVERSITY OF ALBERTA

Table of Contents

Introduction

This report covers non-academic[1] behaviour as addressed across the Dean of Students' portfolio for the 2018/19 academic year. It is organized by relevant policy, including the *Residence Community Standards*, Residence Agreement (i.e. rental contract), *Code of Student Behaviour, Sexual Violence Policy*, and the GFC Protocol for *Urgent Cases of Disruptive, Threatening or Violent Behaviour*.

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 details only those incidents that arise from misconduct, as defined in the relevant policies.

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, 2018 - August 31, 2019

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, it 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 the Restorative Justice (RJ) program 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 2018/2019 academic year:	
Community Resolution	568
Apology Letter	5
Behavioural Agreement	24
Restitution	28

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[1] *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, 2018 - August 31, 2019

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, or visiting restriction

For the 2018/2019 academic year:	
Behavioural Expectations/ Warning letter	21
Damage/Cleaning Charge	6
Eviction	6
Visiting Restriction	4

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. A new data management system has been implemented as of September 2019.

2. There were 921 unique incidents in the time period of this report, down from 1134 in 2017/18. Those incidents included misconduct, first aid, mental health (students of concern), maintenance and operations.

Notable Trends in Residence:

1. A quarter of all incidents were related to alcohol consumption in the 2018/19 year.

2. There was also a significant increase in the number of smoking-related incidents (80 of the 921 incidents involved smoking infractions, up 31% from last year).

3. Trespassing, or unaffiliated presence, accounted for 35 of the incidents. As a security measure, many of the doors in HUB have been changed to resident-only access.

4. Of the 921 incidents, 3.5% stemmed from petty crime (22 theft, 10 vandalism).

Augustana Community Standards

Focus: Student Non-academic misconduct in residence at Augustana Campus
Administered by: Augustana Residence Life
Time period of report: July 1, 2018 - June 30, 2019

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

For the 2018/2019 academic year:		
Fine (waived) *33 total*	File notation	19
	Educational alternative	6
	Restorative outcome	8
Suspension of computer account		0
Disconnection of network services		0
Restitution		0
Emergency suspension from residence		0
Exclusion		0
Disciplinary probation		0
Eviction		0
Student moved to another residence		0
Voluntary conditions		3

Notes:

1. There were a total of 19 unique incidents in Augustana Residence in the reporting period, involving 60 students.

2. All 33 of the disciplinary fines were waived in favour of alternative resolutions, including 19 notations on file, 6 educational alternatives and 8 restorative outcomes.

3. There were a total of 14 unique incidents with Restorative conversations at the RA level involving 13 students.

4. "*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."[2]

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[2] *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, 2018 - June 30, 2019

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[3] 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 2018/19:
17 (up 31% from 2017/18)

Non-academic Charges[4] considered:		
Disruption		0
Dissemination of Malicious Material		1
Violations of Safety or Dignity *20 total*	Physical/sexual contact	0
	Physical abuse/threats	2
	Creating a condition	7
	Harassment/Sexual harassment	5
	Verbal/written threats	0
Damage to Property		1
Unauthorized use		3
Alcohol		1

Sanctions:	
Expulsion	1
Suspension	1
Conduct Probation	12
Exclusion	1
Restitution	0
Fine	2
Reprimand	2
Suspension of services	1

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[3] *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.*

[4] *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 (14 of the 17, or 82% in 2018/19).

2. One of the 17 cases would be classified as Sexual Violence[5] under the new policy.

3. Three of the students referred to SCA for non-academic misconduct self-reported mental health issues.

4. Six students of the 17, or 35%, referred to SCA for non-academic misconduct were international students (as compared to 86% of the students recommended for Severe Sanctions for academic misconduct).

5. Five of the students had a prior non-academic misconduct finding under the *Code*. (By comparison, 79% of students sanctioned for academic misconduct were recommended to SCA because they had prior academic offences.)

6. Four 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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[5] *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*)

Focus: Safety of the University Community
Administered by: Office of the Dean of Students
Time period of report: July 1, 2018 - June 30, 2019

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 can respond to serious incidents and imminent threats 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 primarily considers the safety of individuals and/or the community and is not disciplinary . It does not result in findings of responsibility or sanctions. UAPS performs threat or risk assessments which form the basis for decisions and measures taken. When a Protocol stems from behaviour that could also be considered misconduct, UAPS may investigate and proceed with charges under the *Code*.

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 or any other concern. Each response is tailored to ensure that it is appropriate and proportionate to the incident at hand.

2. Of the 14 Protocols this academic year, all involved either threats or harm to others, including physical or sexual assault, harassment/stalking and other threatening behaviour (to persons or buildings).

3. A student may have multiple conditions, all of which are tailored to the specific situation at hand, including measures to ensure safety, change of behaviour and/or realignment with educational goals.

4. Six of the Protocols began with restrictions from University facilities. However, as a situation evolves, the conditions are reconsidered. Of the 6 students, 4 have been allowed to return, with conditions.

For the 2018/2019 academic year:	
Total number of *Protocol 91*	14
Restrictions from University facilities and/or activities	7
Other conditions	10

Sexual Violence Policy

Focus: Support for survivors of sexual violence
Administered (for students) by: Office of the Dean of Students
Time period of report: July 1, 2018 - June 30, 2019

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, providing information about an experience 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.

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 the to student named as having committed sexual violence, and works with them to identify potential voluntary measures they may be willing to undertake. Should a Complaint be made, it is routed through the relevant disciplinary process/policy.

Potential outcomes:

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

Modifications for survivors of sexual violence can be provided by any 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.

Interim measures are non-disciplinary, and every effort is made to accommodate the academic needs of those under conditions.

For the 2018/2019 academic year:	
Disclosures[6]	38
Modifications[7]	3
Interim Measures[8]	11
Voluntary Measures[9]	4
Safe House usage	23 unique users

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 only Disclosures to the Office of the Dean of Students in which additional supports or modifications were sought. They are not representative of the incidents of sexual violence[10].

3. Safe House, an emergency housing program for students and their dependants, saw a large increase in usage this year. Among the 23 unique users, students stayed between 1-64 nights and received coordinated follow-up support to address the issues that necessitated emergency housing.

   Previously, Safe House had accommodated students for up to 14 days but expanded the program this year to pilot an enhanced set of supports for students experiencing homelessness, unsafe, or precarious housing situations. The pilot provides emergency housing for students who may require it longer than 14 days and, in collaboration with Residence Services, a subsidized residence room may be offered along with necessary student supports.

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[6] *This number includes students who disclosed that they had been perpetrators of sexual violence as well as those who had experienced sexual violence.*

[7] *Examples include: assistance with deferring exams or assignments, assistance changing classes or residence rooms.*

[8] *Examples include: non-contact orders, or instructions on where or when to move through certain areas of campus.*

[9] *Examples include: agreement not to contact the person who disclosed, or agreement to avoid certain areas.*

[10] *By comparison, the Sexual Assault Centre received 214 unique disclosures in the same time period.*

Student Groups Procedure

Focus: Relationship between Student Groups and the University
Administered by: Office of the Dean of Students
Time period of report: July 1, 2018 - June 30, 2019

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;

- They engage in hazing, create an 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 2018/2019 academic year:
One Student Group had its recognition revoked due to their conduct.

Appendix A - 3 Year Trends

Residence Community Standards

	2018/19	2017/18	2016/17
Community Resolution	568	441	454
Apology Letter	5	1	14
Behavioural Agreement	24	82	46
Restitution	28	3	3

Breach of Residence Agreement

	2018/19	2017/18	2016/17
Behavioural Expectations/Warning Letter	21	33	49
Damage/Cleaning Charge	6	14	11
Eviction	6	5	7
Visiting Restriction	4	12	3

Augustana Community Standards

		2018/19	2017/18
Fine (waived)	File notation	19	11
	Educational alternative	6	2
	Restorative outcome	8	1
	totals	33	14
Suspend computer account		0	0
Disconnect network services		0	0
Restitution		0	1
Emergency suspension		0	1
Exclusion		0	0
Disciplinary probation		0	0
Eviction		0	0
Student moved		0	1
Voluntary conditions		3	2

Code of Student Behaviour

Charge		2018/19	2017/18	2016/17
Disruption		0	1	4
Dissemination of Malicious Material		1	1	1
Violations of Safety or Dignity	Physical/sexual contact	0	3	3
	Physical abuse/threats	2	2	4
	Creating a condition	7	7	7
	Harassment/sexual harassment	5	7	13
	Verbal/written threats	0	1	0
	totals	15	20	27
Retaliation		0	0	0
Damage to Property		1	2	4
Unauthorized use		3	3	3
Alcohol		1	1	0
Participation in an Offence		0	0	1
Bribery		0	0	0
Breach of Rules External		0	0	0
Misuse of Confidential Material		1	0	0
Misrepresentation of Facts		1	0	0

Sanction	2018/19	2017/18	2016/17
Expulsion	1	1	1
Suspension	1	3	0
Conduct Probation	12	8	17
Exclusion	1	3	3
Restitution	0	1	1
Fine	2	1	0
Suspension of Services	1	0	2
Reprimand	2	1	0
No sanction	1	0	1
All charges dismissed	0	0	4

Protocol 91

	2018/19	2017/18	2016/17
Restrictions from campus - full or partial	7	7	9
Other conditions as needed to address safety concerns	10	3	6

Sexual Violence Policy

	2018/19	2017/18
Modifications	1	0
Interim Measures	0	0
Disclosures	38	12
Voluntary Measures	4	4

Student Groups Procedure

	2018/19	2017/18	2016/17
Temporary suspension of recognition	0	1	0
Revocation of recognition	1	0	0