Monday, September 18, 2023
Council Chamber, 2-100 University Hall (UNH)
2:00 PM - 4:00 PM

OPENING SESSION 2:00 – 2:20PM

	Ceremony	Francis Whiskeyjack
1.	Approval of the Agenda	Bill Flanagan
2.	Report from the President/Comments from the Chair (no documents) - Introduction of the Chancellor and Board Chair	Bill Flanagan

CONSENT AGENDA 2:20 - 2:25 p.m.

[If a member has a question or feels that an item should be discussed, 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.] — Bill Flanagan

3. Approval of the Open Session Minutes of May 29, 2023

4. New Members of GFC

Motion: To Approve Items in the Consent Agenda

ACTION ITEMS

5. Forward with Purpose - Strategic Plan for Research and Innovation (SPRI) 2:25 - 2:40 p.m. — Aminah Robinson Fayek

Motion: To Approve

DISCUSSION ITEMS

6. Question Period 2:40 - 3:10 p.m. — Bill Flanagan

7. University of Alberta Students' Union Goals
Graduate Students' Association Board Work Plan 3:10 - 3:30 p.m. — Christian Fotang / Bishoi Aziz

8. Final Draft of the Budget Model 3:30 – 4:00p.m. — Todd Gilchrist / Verna Yiu

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.]

9. Report of the GFC Executive Committee
    - *The committee will report on their September 11 meeting next month*

10. Report of the GFC Academic Planning Committee

11. Report of the GFC Programs Committee

12. GFC Nominations and Elections

13. Report of the Board of Governors

14. Information Items:
    A. Student Academic Integrity Policy Suite

15. Information Forwarded to GFC Members Between Meetings
    - University of Alberta Mail - Message from President and Vice-Chancellor, Bill Flanagan

CLOSING SESSION

16. Adjournment
    - Next Meeting of General Faculties Council: October 16, 2023

Presenter(s):

Bill Flanagan	President and Vice-Chancellor, University of Alberta
Aminah Robinson Fayek	Vice-President (Research and Innovation)
Christian Fotang	President, University of Alberta Students' Union
Bishoi Aziz	President, Graduate Students' Association
Todd Gilchrist	Vice-President (Shared Services and Finance)
Verna Yiu	Interim Provost and Vice-President (Academic)

Documentation was before members unless otherwise noted.

Meeting REGRETS to:	Heather Richholt, 780-492-1937, richholt@ualberta.ca
Prepared by:	Kate Peters, GFC Secretary and Manager of GFC Services
University Governance	www.governance.ualberta.ca

New Members of GFC

MOTION I: TO RECEIVE:

The following statutory academic staff members who have been elected by their Faculty, to serve on GFC for a term of office beginning immediately and ending June 30, 2026:

Esther Kim	Rehabilitation Medicine
Adetola Adesida	Medicine and Dentistry
Duncan Elliott	Engineering
Lindsey Westover	Engineering
Kenneth Gariepy	Education
Jodi Harding-Kuringer	Education

The following ex-officio members to serve on GFC for a term extending for the duration of the appointment:

Declan Ali	Dean, Faculty of Science
Tracy Raivio	Vice-Provost and Dean, Faculty of Graduate Studies and Research
Doug Gleddie	Acting Dean, Faculty of Education
Denise LaFitte	Acting Vice-Provost and Chief Librarian
Chris Andersen	Dean, Faculty of Native Studies

The following ex-officio members to serve on GFC for a term beginning July 1, 2023 and ending June 30, 2024:

Tom Stelfox	Dean's delegate, Faculty of Medicine and Dentistry

MOTION II: TO APPOINT:

The following cross-appointed members to serve on GFC for a three-year term concurrent with their appointment to the Board of Governors:

Dilini Vethanayagam	GFC Nominee to the Board
Stephanie Dickie	NASA Representative

The following appointed ex officio members to serve on GFC for a term extending for the duration of their appointment:

Brenda Hemmelgarn	Vice-Provost and College Dean, Health Sciences
Marvin Washington	Vice-Provost and College Dean, Social Sciences and Humanities

Ravina Sanghera	Vice-Provost and Dean of Students

The following graduate student representatives to serve on GFC for terms commencing immediately and ending April 30, 2024:

Zak Kaal	Agricultural, Life & Environmental Sciences
Shubham Goswami	Mechanical Engineering

The following post-doctoral fellow representative to serve on GFC for a term commencing immediately and ending January 31, 2024:

Olena Mykhailenko	School of Business

The following Libraries representative to serve on GFC for a term commencing immediately and ending June 30, 2026:

Tim Klassen	Libraries and Museums

ITEM NO. 5

Decision X   Discussion   Information

ITEM OBJECTIVE: This item is before the General Faculties Council (GFC) for a final discussion on "Forward with Purpose: A Strategic Plan for Research and Innovation" to the General Faculties Council for approval.

DATE	18 September 2023
TO	General Faculties Council
RESPONSIBLE PORTFOLIO	Vice-President (Research and Innovation)

MOTION:

That General Faculties Council approve "Forward with Purpose: A Strategic Plan for Research and Innovation".

EXECUTIVE SUMMARY:

Background
The development of an institutional strategic plan for research and innovation has been completed. Its working title has been Strategic Plan for Research and Innovation (SPRI), and its final title is "Forward with Purpose: A Strategic Plan for Research and Innovation".   Over the same period of time, colleagues in the President's Office and the Provost and Vice-President (Academic)'s Office led the consultations that informed the University Strategic Plan (USP), and the two initiatives kept in close touch with each other as they evolved.

A Working Group focused on the research and innovation plan was convened in July 2021 by Vice-President (Research and Innovation) Aminah Robinson Fayek, comprised of two individuals from each of the three Colleges, representatives from the President's Office and External Relations, and all the Associate Vice-Presidents in the VPRI portfolio. The Working Group met regularly and produced an initial draft document for discussion by the group. The VPRI Office reviewed and addressed the feedback received from a small number of focus groups in late 2022 who commented on the initial draft Strategic Plan for Research and Innovation. The Working Group then prepared a revised draft of the plan based on this preliminary feedback, which underwent widespread consultation in April and May 2023.

Analysis / Discussion
While the Vice-President (Research and Innovation) portfolio has developed strategic plans in the past for its internal use, no comprehensive institutional strategic plan for research and innovation has been produced at the U of A. Guided by the University's Equity, Diversity and Inclusion Strategic Plan and the Indigenous Strategic Plan Braiding Past, Present and Future, as well as the development of the University Strategic Plan, there was an excellent opportunity to highlight the central importance of research and innovation in the University's mission and mandate through the creation of a strategic plan for these areas.

GOVERNANCE OUTLINE

ITEM NO. 5

The plan identifies research and innovation priorities for the University and highlights its proposed strategic vision and goals to:

- Focus on people and build talent;
- Support researchers with tools and infrastructure;
- Strengthen our research and innovation culture and broaden our impact; and
- Enhance our reputation as a global research and innovation leader.

These goals and priorities were identified and developed through consultation with the University community and refined by the multi-disciplinary Working Group. The plan recognizes the need to focus on targeted areas of research and innovation that will highlight existing strengths and expand capacity over the next five years, help implement the *One University* vision and enable support of the growth of the people and the diverse communities with whom the University engages.

The draft institutional Strategic Plan for Research and Innovation was posted on the VPRI website and it underwent consultation during April and May 2023, with 18 sessions being held that were hosted by the Office of the Vice-President (Research and Innovation) with the assistance of professional facilitators. As part of the consultation process, two meetings with external groups were held – one with Federal and Municipal government representatives, and the other with Industry and Community Partners and Supporters, including Alumni and Senate members. A total of 269 participants engaged in the formal consultation meetings; others provided input through informal meetings, and comments were also received via an online form. APC discussed the draft Strategic Plan for Research and Innovation at its meeting on 17 May. The collective frank and valuable feedback on the draft plan that emerged from these productive conversations and submissions was synthesized in the final version of the plan. Its accompanying document, [What We Heard](#), summarizes the feedback received in the various consultation sessions and how such feedback was incorporated in the final plan.

During the development of the research and innovation plan, the VPRI Office worked closely with colleagues leading the development of the University Strategic Plan (USP), and "Forward with Purpose: A Strategic Plan for Research and Innovation" will support the main objectives of the USP related to research and innovation.

Next Steps
Once "Forward with Purpose: A Strategic Plan for Research and Innovation" has been finalised its implementation will be guided by a comprehensive plan being developed in conjunction with the VPRI Senior Communications Partner. As it is an institutional plan, the VPRI Office will be working closely with the Colleges and Faculties to ensure alignment of planning for research and innovation in all areas of the University. Working collectively, the University community will harness its resources to achieve the goals and objectives outlined in "Forward with Purpose: A Strategic Plan for Research and Innovation", thereby supporting the overall institutional vision outlined in the University Strategic Plan.

GOVERNANCE OUTLINE

ITEM NO. 5

Supporting Materials:
1. Forward with Purpose: A Strategic Plan for Research and Innovation
2. What We Heard

SCHEDULE A:

Engagement and Routing

Consultation and Stakeholder Participation / Approval Route (parties who have seen the proposal and in what capacity) <*Governance Resources Section Student Participation Protocol*>

*Those who are actively **participating***:   ● Members of the University of Alberta community   ● GFC Academic Planning Committee   ● General Faculties Council   ● Government Partners   ● External Industry and Community Groups
*Those who were invited to participate in **consultation***:   ● University Research and Innovation Advisory Committee (URIAC, formerly URPC)   ● Campus Saint-Jean   ● Augustana Faculty   ● Faculty of Native Studies   ● Undergraduate and Graduate Students   ● Postdoctoral Fellows   ● College of Natural and Applied Sciences   ● College of Social Sciences and Humanities   ● College of Health Sciences   ● Deans, Vice Provosts and Associate Vice-Presidents   ● Indigenous Scholars   ● U of A Centres and Institutes Directors   ● Academic Planning Committee   ● General Faculties Council   ● Board Learning, Research and Student Experience Committee   ● Board of Governors   ● Government Partners   ● External Industry and Community Partners
*Those who have been **informed***:   ● The Quad article on 8 April 2023 invited everyone in the University community to offer input into the consultation process through both in person and online means.

Prepared by Katharine Moore, Office of the Vice-President (Research and Innovation), katharine.moore@ualberta.ca

GOVERNANCE OUTLINE

Leading with Purpose.

UNIVERSITY OF ALBERTA

Forward with Purpose:

A Strategic Plan for Research and Innovation

2023-2028

The University of Alberta respectfully acknowledges that we are located on Treaty 6 territory, a traditional gathering place for diverse Indigenous peoples including the Cree, Blackfoot, Métis, Nakota Sioux, Iroquois, Dene, Ojibway/Saulteaux/Anishinaabe, Inuit and many others whose histories, languages and cultures continue to influence our vibrant community.

…

The University of Alberta also acknowledges our enduring roots in the City of Edmonton, traditionally known as amiskwaciywâskahikan, which means Beaver Hills House in Cree. We view our location as an integral aspect of our identity, intertwined with our history, present engagements and future aspirations. Embracing our relationship with this vibrant community, the university strives to work together for the enhancement and betterment of the Edmonton region and beyond.

A Message from the Vice President of Research and Innovation

I am extremely pleased to present the University of Alberta's *Strategic Plan for Research and Innovation* (*SPRI*) – a five-year roadmap toward a future in which our University's leadership and contributions have an even greater impact on the world.

This institutional *SPRI* is the first of its kind at the University of Alberta and reflects the future of our research and innovation enterprise, presenting a bold new step in defining areas for maximum impact to address the grand challenges of our time. It sets out strategies for creating a renewed focus on knowledge mobilization and translation, innovation, commercialization, and for increased mobilization of creative and artistic work.

In an increasingly competitive landscape, this plan establishes clear directions for transforming key strengths into sustainable funding opportunities led by University of Alberta researchers. The *SPRI* will advance our public, private and community partnerships, empowering us all to move forward together. By focusing on tackling grand challenges through our areas of global excellence–broad, long-term and deep institutional strengths–and areas of leadership primed for further growth, we are fostering a research and innovation ecosystem that supports our researchers and positions the University of Alberta as a top global research institution.

At the same time, the *SPRI* demonstrates a deep commitment to fundamental, curiosity-driven research. Our institution has significant and extensive research capacity to bring to bear on grand challenges that are vital to the well-being of our societies, economy and environment. Addressing these challenges locally, provincially, nationally and globally requires strong multidisciplinary and intersectoral connections among academia, industry, the public sector and community members. The *SPRI* is intended for the diverse internal and external communities that make up our research and innovation ecosystem, groups to whom we offer our commitment to being a partner of choice.

The development of *the SPRI* has been a collective effort of co-creation. We consulted with our expert teams of researchers, innovators, staff and students as well as government, industry and community members, taking into account their strategic priorities. The *SPRI* serves as a testament to the collective effort and collaborative dialogue that underpins the University of Alberta's commitment to research and innovation.

I would like to express my great appreciation to my colleagues on the *Strategic Plan for Research and Innovation* Working Group. Their commitment of time, wisdom and vision over the past two years has been inspiring. I also extend my sincere gratitude to the members of the University community and to our external partners who provided their

insights and candid feedback, all of which resulted in the creation of our first pan-institutional research and innovation strategic plan.

The Office of the Vice President (Research and Innovation) advances the University's large and complex research and innovation enterprise through support, outreach, advocacy and community engagement. The *SPRI* charts a pathway for the next five years across University endeavours. This Plan aligns with other institutional strategic plans, including *Shape: A Strategic Plan of Impact*, *Braiding Past, Present and Future,* and our *Strategic Plan for Equity, Diversity and Inclusion*. The *SPRI* is a living document, providing our community with the freedom and flexibility necessary to pursue their specific research aspirations in the context of the University's strategic vision. Going forward, we will support our colleges, faculties, centres and institutes in the development of their own strategic plans, building on the vision of the University of Tomorrow and our One University approach.

This *SPRI* is important now. The world continues to recover and learn from the COVID-19 pandemic while facing enduring global inequities and environmental crises. Meanwhile, challenges remain for researchers, administrators, students and staff in meeting these issues. These challenges create opportunities to ask new and significant questions–and to change our ways of thinking. The goals, objectives and actions outlined in the *SPRI* will help us empower our researchers and innovators with the tools they need to address grand challenges for maximum impact. Our indicators, which enable us to measure our success over the next five years, are both aspirational and achievable.

There is no denying the magnitude of work ahead, nor the variety of perspectives on how to achieve our goals. Our *SPRI*–both ambitious and focused–challenges us to recognize our strength and potential as an institution and the capacity of our people. It encourages us to ask what we can do at the University of Alberta that cannot be done elsewhere and how we can best serve our communities and partners. Prioritizing and investing in people is the driving force behind this Plan–because our true strength is people: our researchers, administrators, students, staff and partners.

We are here to work with all of you to make what you see on these pages a reality. Our door is open. Our eyes are on the future. We are ready to move Forward with Purpose.

- Aminah Robinson Fayek
  Vice President (Research and Innovation)

Strategic Plan for Research and Innovation Working Group

- Aminah Robinson Fayek, Vice-President (Research and Innovation) – Chair
- André McDonald, Associate Vice-President (Strategic Research Initiatives and Performance), Office of the Vice-President (Research and Innovation)
- Jason Acker, Associate Vice-President (Research Integrity Support), Office of the Vice-President (Research and Innovation)
- Laura Beard, Former Associate Vice-President (Research Development and Services), Office of the Vice-President (Research and Innovation)
- David Bressler, Associate Dean (Research), College of Natural and Applied Sciences
- Marie Carriere, Former Associate Dean (Research), Faculty of Arts
- Kerry Courneya, Professor, Faculty of Kinesiology, Sport, and Recreation
- Walter Dixon, Special Advisor to the Vice-President (Research and Innovation), Office of the Vice-President (Research and Innovation)
- Florence Glanfield, Vice-Provost (Indigenous Programming & Research)
- Joanna Harrington, Associate Dean (Research), College of Social Sciences and Humanities
- Deborah James, Former Associate Vice-President (Innovation & Commercialization), Office of the Vice-President (Research and Innovation)
- Michael Lounsbury, Professor, Alberta School of Business
- Elan MacDonald, Vice-President (External Relations)
- Matt McCreary, Former Senior Communications & Marketing Partner, Offices of the Provost and VP (Academic) and Vice-President (Research and Innovation)
- Katharine Moore, Chief of Staff, Office of the Vice-President (Research and Innovation)
- Sandra Rein, Associate Dean (Research), Augustana Campus
- Lawrence Richer, Associate Dean (Research), College of Health Sciences and Vice Dean (Clinical Research), Faculty of Medicine & Dentistry
- Carrie Smith, Vice-Provost (Equity, Diversity and Inclusion)
- Kelly Spencer, Associate Vice-President (Development and Alumni Relations), External Relations
- Catherine Swindlehurst, Former Chief Strategy Officer, Office of the President
- Ying Tsui, Professor, Faculty of Engineering

Building on a Legacy of Transformational Impact

Research, innovation and creative activities are a cornerstone of the University of Alberta's mission and identity. The dedicated researchers, scholars and innovators at our institution consistently produce and transfer knowledge that has enhanced our society, the economy and the environment.

Through the work of these individuals, teams and partners, the University of Alberta drives positive change in the face of grand societal challenges: environment and climate change, affordable and clean energy, pandemic preparedness, ethical use of digital technologies and artificial intelligence, decolonization and reduced social inequities.

Our Research and Innovation Ambition

The University of Alberta strives to be a leader in knowledge generation and translation, inspiring solutions to grand challenges of local, provincial, national and global importance through creativity, research, innovation and higher education.

Our university is the site of the first successful open-heart surgery, home to Canada's first organ transplant research group, and was the first to develop ways to separate oil from sand. Our creative climate and commitment to using research outcomes to address challenges have made our university a hub for discourse on Indigeneity, climate action and high-impact research for social betterment.

The University of Alberta has always been a research leader in solving global challenges, and we will continue to strive for impact at the local, regional, national and global levels. The plan therefore identifies areas of focus where we have global excellence and where we are primed for growth in the context of addressing grand challenges for maximum impact.

To build upon our leadership in our areas of strength and in emerging directions, we must be forward-looking, deliberate and focused in how we plan, organize and support our research and innovation climate. The *Strategic Plan for Research and Innovation* is our blueprint for research with a purpose.

Guided by the direction set through *Shape: A Strategic Plan of Impact*, the *Strategic Plan for Research and Innovation* outlines how we will leverage our existing strengths and assets — and identifies clear choices to reinforce our ecosystem — to capitalize on major opportunities and ensure our talented researchers are empowered with the right tools, processes and culture to achieve and thrive.

This *Strategic Plan for Research and Innovation* has been led by the Office of the Vice-President (Research and Innovation) which supports researchers at all stages and facilitates external engagement and advocacy with government and partners in industry and local, national, and global communities. Our goal is to support diverse researchers, scholars and innovators across the full research continuum, from curiosity-driven scholarship to research in applied areas. Additionally, we recognize the importance of multidisciplinary large-scale and cross-sectoral initiatives for addressing and developing solutions to grand challenges.

Forward with Purpose: Connections to *Shape,* the University Strategic Plan

In *Shape*, the University of Alberta's 10-year plan of impact, the institution outlines the following seven research and innovation goals for transformational impact. These goals inform the *Strategic Plan for Research and Innovation* and will shape research at the University of Alberta for the next 10 years.

1. Increased number of large-scale, multidisciplinary research initiatives that stimulate community-engaged research and impact.
2. Development of innovations that tangibly address major social, economic and environmental challenges facing Alberta, Canada and the world.
3. More robust and comprehensive research capacity through the durable embedding of Indigenous community engagement and Indigenous ways of knowing into research practices.
4. Spinoff and other commercialization activities that bring new products and services to the world.
5. Increased representation and research success among researchers from historically underrepresented and equity-denied groups.
6. Markedly higher research, innovation and creative collaboration across disciplines, through realized potential of the college structure.
7. Improvement in the quality of life for millions of people in communities across Alberta, Canada and the world.

Taking Stock of Our Opportunities

What Makes Us Unique?

As the northernmost U15 university, we are a Prairie land-based research-intensive university with strong connections to Canada's North.

Our relationships with Indigenous, rural, Francophone, local and national communities, industry and the land have cultivated innovative solutions to grand societal challenges.

Built through collaboration and consultation, the *Strategic Plan for Research and Innovation* envisions the future of research and innovation at the University of Alberta while remaining sensitive to our current research ecosystem.

In assessing our position, some key strengths and observations emerge.

The University of Alberta is a dynamic environment for generating new ideas and fostering innovation for significant societal impacts. We have a rich diversity of people, creating opportunities for fruitful multidisciplinary and intersectoral exchanges and collaborations. Through co-learning and co-creation, our researchers, partners and communities come together to develop novel and innovative perspectives, approaches and methodologies. In particular, we have:

- **Deep relations with a rich tradition and connections to land.** With campuses in both Edmonton and Camrose, and as the geographically northernmost U15 institution, our university offers a unique perspective in connection with a complex, biodiverse land and interconnected peoples. Our location enables us to learn from the rich traditions of First Nations, Métis, Inuit and all First Peoples of this place now called Canada, and to integrate those traditions into how we conceive, design and conduct research, recognizing the importance of genuine community engagement and participation at all stages of the process.

> **Internationalization at the Heart of Research and Innovation**
>
> The University of Alberta has more than 700 agreements with governments, universities and other organizations in over 80 countries.

- **Steadfast commitment to equity, diversity, inclusion and decolonization.** Our university demonstrates strength in research that addresses systemic inequities and injustices for equity-denied groups through numerous researchers who bring a diversity of perspectives and knowledge. We are willing to have courageous conversations in support of our national commitments to reconciliation, the Scarborough Charter and the Dimensions Charter. Our university commits to

centering the principles of equity, diversity, inclusion and decolonization to embrace diverse ways of knowing, learning and doing.

- **Significant local, regional, national and international connections.** Over many decades, our university has expanded touchpoints with post-secondary institutions, research institutes, industry and social innovation groups in our local communities and across the globe. We have a worldwide network of alumni, and each year, we attract thousands more research students and trainees to the University of Alberta.

- Demonstrated **uniqueness and strength in key areas**. Our university boasts national and global leadership and emerging strengths in several research areas — such as conventional oil and gas technologies, the transition to net-zero energy solutions, the health and well-being of women and children, Indigenous research, artificial intelligence, sustainable agriculture, virology and disease prevention, and transformative approaches to advancing social betterment.

> **Our Research and Innovation Strengths**
>
> The University of Alberta is known for energy innovations, discoveries in artificial intelligence, life-saving vaccines and cell-based therapies, community-engaged Indigenous pedagogical research, agricultural breakthroughs and research addressing intersectional inequities and decolonization.

- **Balanced breadth and depth**: We have a diverse and multidisciplinary research ecosystem and recognize the sensitive interplay between supporting the extensive range of our research strengths and maintaining focused excellence. Our vision is to foster a research ecosystem that empowers all our researchers and enables us to excel in areas of maximum impact.

- **New structures foster greater collaboration.** The new college structure at our university offers great potential for identifying, nurturing and seizing opportunities

for enhanced multidisciplinary collaboration — across traditional knowledge and disciplinary boundaries — and for exploring innovative methodologies. The work of the Centres of Expertise in the Vice-President (Research and Innovation) portfolio is be key in these efforts, through its provision of planning, pre-award, post-award, technology transfer and general research-related support services.

Mobilizing for Maximum Impact

Maximizing Impact through the Sustainable Development Goals

The University of Alberta is maximizing impact on the world around us through excellence in working towards the United Nations' Sustainable Development Goals (SDG). We are ranked 1st in Canada for the SDGs of Affordable and Clean Energy and Industry, Innovation and Infrastructure. For our work to end hunger and achieve food security, we are ranked 2nd in the world for the Zero Hunger goal.

The *Strategic Plan for Research and Innovation* brings greater focus and alignment to our research, innovation and creative activities. It is intended to outline the strategic vision for research and innovation at the University of Alberta over the next five years, with the goal of working together with the university community, government and industry and external partners to maximize our impact on the world around us.

We define impact broadly and inclusively to recognize the validity of different dimensions and interpretations of impact across disciplines, research programs and all related scholarly activities. These include short- and long-term economic, environmental and social impacts and engagements.

We maximize our impact through deliberate investments and efforts — across all disciplines and domains — to enhance key drivers of an exceptional research and innovation ecosystem.

The result will be a prevailing climate of support for researchers and research: one that fosters multidisciplinary engagement; provides safety in the pursuit of various lines of inquiry; integrates principles of equity, diversity, inclusion, decolonization and reconciliation; and centres collaboration in the generation and mobilization of knowledge.

Our vision includes a strong focus on social impact and advocates for greater representation of the social sciences, humanities and performing and fine arts, and harnesses these to address the grand challenges of our time.

Over time, the University of Alberta will solidify its international reputation of leading with purpose to address the major questions and challenges in our global environment.

Guiding Principles

The University of Alberta's guiding principles underpin everything we do, including the work laid out in this *Strategic Plan for Research and Innovation*.

- The University of Alberta is committed to **academic freedom**, where individual researchers determine their own research area, focus and pursuits, which in turn are supported at the faculty, college and institutional level.
- **Research and creative activity** are the core focus and foundation of our university. They are the drivers of new knowledge and understanding that fuel applications, innovation, knowledge mobilization, technology transfer and broad societal impacts.
- Our research excellence is underpinned by the principle of **equity** and the practices of **inclusion** and **decolonization**. By remaining accountable to these principles and practices, we strive to build a culture where **diversity** flourishes and where we work in partnership to dismantle systemic barriers with ethical integrity and social responsibility.

- We support **Indigenous-led initiatives, knowledges, communities and research engagement**, and take steps to deliver on the Truth and Reconciliation Commission of Canada's Calls to Action, particularly, though not exclusively, in relation to Education for Reconciliation. We adhere to the guiding values and principles outlined in *[Braiding Past, Present and Future: University of Alberta Indigenous Strategic Plan](#)*. We are committed to the inclusion of Indigenous knowledges, voices and critiques, as well as physical and intellectual spaces that facilitate a plurality of Indigenous knowledges and practices.

- We are committed to **safe and responsible research, creative work, knowledge mobilization, social and technological innovation, and commercialization** activities, regardless of disciplines and our partners' geographic locations.

- We value **sustainability** and recognize the importance of data accessibility, reusability and sovereignty as well as the prudent stewardship of resources and infrastructure.

- We foster **collaboration,** within and beyond the university and across traditional boundaries. We are committed to working with government, industry and communities to co-create and co-define research areas to meet our aspirational goals as an institution.

Strategic Research and Innovation Goals

The *Strategic Plan for Research and Innovation* identifies four goals, each underpinned by tangible objectives, actions and indicators. Together, they articulate how we will further focus, align and enhance our research and innovation ecosystem to maximize our university's impact on the world.

Goals of the *Strategic Plan for Research and Innovation*

1. Focus on people and nurturing talented researchers.
2. Support researchers with tools and infrastructure.
3. Strengthen our research culture and broaden our impacts.
4. Enhance the University of Alberta's global research and innovation leadership.

1. Focus on People and Nurturing Talented Researchers

The pursuit of high-calibre research depends on our university welcoming, including and retaining high-calibre faculty members, undergraduate and graduate students, research associates, postdoctoral researchers, other research trainees and research support staff. Moreover, by integrating research into our teaching and training, we will also develop the leaders and innovators of tomorrow. Together, we will cultivate a research and innovation ecosystem that is more equitable and better positioned to explore issues from a broad range of lenses.

Objective 1.1
Support, retain and attract exceptional researchers to build on the research strengths of the university and contribute to a research ecosystem that leads with purpose.
Actions:

1. Strategically orient the Canada Research Chair (CRC), Canada Excellence Research Chair (CERC) and other chair programs to retain and attract world-class emerging and established researchers in targeted areas of strength.
2. Encourage and enhance the inclusion of undergraduate and graduate students, postdoctoral researchers and other trainees into the research ecosystem and learning environments and within local, national and international communities to develop exceptional researchers of tomorrow.
3. Promote the research strengths of the institution to targeted external researcher demographic groups, including equity-denied groups, to attract early career researchers.
4. Encourage, create and sustain clusters of researchers in high-impact, funded research initiatives through collaboration among colleges, faculties and centres and institutes.

Objective 1.2

Enhance our research ecosystem to support researchers from equity-denied groups including women, visible minorities, researchers from Indigenous, Black, 2SLGBTQ+, francophone and diasporic communities, and persons with disabilities or who identify as disabled.

Actions:
1. Expand collaboration among the Office of the Vice-President (Research and Innovation), the Office of the Provost and Vice-President (Academic), colleges and faculties to enhance funding opportunities for trainees and early-career researchers from equity-denied groups to increase researcher and faculty diversity.

2. Create new, and engage existing, programs to expand research and training opportunities and communities for equity-denied groups.
3. Create strategic workshops and training resources for targeted groups of researchers, including those from equity-denied groups and early-career researchers, to develop and strengthen research leadership and project management skills.
4. Through collaborations among the faculties, colleges and centres and institutes, increase the number of university researchers from equity-denied groups who lead or co-lead large-scale, collaborative, funded, interdisciplinary research initiatives.
5. Align strategic allocations of Canada Research Chair, Canada Excellence Research Chair and other chair and research professorship positions to increase the number of recipient researchers from equity-denied groups.

Objective 1.3

Engage and support diverse researchers and research teams from broad research areas and demographic groups to apply for internal and external research awards and expand their national and international research profiles.

Actions
1. Strategically design internal research award processes and policies, incorporating, where applicable, Indigenous worldviews and furthering the principles of equity, diversity and inclusion (EDI).
2. Recognize, support and celebrate research that is community-engaged, community-led, intersectional, francophone and partnered with Indigenous communities.
3. Establish targeted internal awards to recognize and celebrate Indigenous scholars, scholars from equity-denied groups, research scholarship in the areas

of Indigenous-engaged research and research that addresses and/or achieves greater levels of EDI.

4. Strengthen capacity related to national and international research awards, ensuring that engagement and nomination processes are attentive to principles of Indigenous-led and Indigenous-engaged research and EDI.

Objective 1.4

Establish an integrated network of research support for Indigenous initiatives and equity, diversity and inclusion (EDI) in research and creative activities and in multidisciplinary research initiatives.

Actions:

1. Create an EDI research centre of expertise in the Office of the Vice-President (Research and Innovation).
2. Create an Indigenous research and innovation centre of expertise in the Office of the Vice-President (Research and Innovation).
3. In collaboration with the Offices of the Vice-Provost (Indigenous Programming & Research) and the Vice-Provost (Equity, Diversity and Inclusion), develop and provide training and web-based tools on Indigenous initiatives and EDI to researchers as an integral element of research grant and ethics applications, including multidisciplinary research initiatives.
4. Formally engage researchers in integrating Indigenous-engaged scholarship, research and relationships in relevant research grant and award applications.

Key Indicators:

1. Increase the Canada Research Chair allocations to the institution by 15% by 2028.
2. Increase per capita funding held by researchers from equity-denied groups by 25% by 2028.
3. Increase external funding that targets the recruitment of research trainees and faculty from equity-denied groups by 30% by 2028.
4. Increase the number of university researchers from equity-denied groups who lead or co-lead large-scale, collaborative, funded research initiatives by 25% by 2028.
5. Increase the application rate for external awards by 30% by 2028.
6. Increase the number of successful national and international research awards by 25% by 2028.
7. Increase Indigenous-led grant applications by 10% by 2028.

2. Support Researchers with Tools and Infrastructure

To sustain creativity and fuel learning, knowledge creation and innovation, talented researchers require high-calibre research supports, tools and spaces, including technicians and research support staff. Our university will continue to provide a suite of research support services that effectively meet the day-to-day and strategic needs of researchers and innovators. We will also strategically build on our robust research infrastructure to ensure researchers across all disciplines and faculties benefit from high-quality spaces and tools, including creative and artistic workspaces, data systems, lab equipment, computing power and other necessary technological infrastructure.

Objective 2.1

Develop streamlined and coordinated institutional processes for integrating and supporting the operation and expansion of shared institutional infrastructure for research and creative activities.

Actions:

1. Expand and diversify funding to support infrastructure expansion and renewal, moving to establishing institutional core and shared research and creative activity infrastructure.

2. Develop institutionally harmonized operation of stand-alone infrastructure, research platforms and core facilities—such as the small-animal services facilities and shared computational facilities—for research and innovation across the multiple campuses of the institution.

3. Implement effective models for financial sustainability and regulatory processes for animal welfare, research ethics and clinical trials to ensure proper operations and compliance.

4. Review and audit infrastructure and equipment access and use through an EDI lens.

5. Support researchers in grant development with funding for activities such as management of proposal development processes, grant writing and editing.

Objective 2.2

Strengthen guidelines and develop knowledge bases for research-related administrative, financial and infrastructure operations and protocols, as well as occupational health and safety compliance activities.

Actions:

1. Develop communication and training assets for researchers and trainees at all stages, focusing, especially on early-career researchers.
2. Improve, coordinate and expand institutional researcher onboarding and support processes for administrative, operational, facilities, safety and financial matters.
3. Develop a searchable database with research proposal development resources, grant examples and templates for researchers, trainees and innovators.

Objective 2.3

Develop and expand robust and secure safeguarding of research systems, including data storage, data exchange and data management systems.

Actions:
1. Strategically streamline and implement institutional processes and systems for safeguarding research, technology transfer protocols, intellectual property protections, and research data management processes.
2. Strategically support the development of research data management grounded in principles of findability, accessibility, interoperability and reusability (FAIR) and First Nation principles of Ownership, Control, Access and Possession (OCAP).
3. Develop resources and processes for evaluating the risks and mitigating any impacts of unauthorized disclosure of research information and data.

Objective 2.4

Enhance development and expand access to high-performance computing and research information management system infrastructure locally, regionally and nationally.

Actions:

1. Align existing and emerging research areas for maximum impact with access to high-performance computing resources.
2. Lead development of information technology and library support platforms for research information management.
3. Leverage existing national research data repository platforms to expand access and sharing of research data.

Key Indicators

1. In order to expand core facilities and infrastructure, increase annual sponsored research revenue for infrastructure from the Canada Foundation for Innovation by 50% and from other sources by 50% by 2028.
2. Identify and implement core support platforms for high-performance computing by 2025.
3. Building on the Institutional Research Data Management Plan, increase institutional capacity to support data-intensive research activities across the university by 2026.
4. Increase open access, open data publications and works by 50% by 2028.

3. Strengthen Our Research Culture and Broaden Our Impacts

Fueled by our high-calibre people and enhanced tools and infrastructure, we will continue to cultivate a research and innovation culture across the university that embraces a multitude of ways of thinking, knowing, doing and relating. We will also work to showcase and celebrate the impacts of our research, innovations, discoveries,

creative and artistic activities, community engagements, partnerships and relationships – and the people behind them. These impacts will expand academic thought, influence research paradigms and contribute to better practices, public policies and enhanced public life.

Objective 3.1

Build a centralized research-driven and innovation ecosystem that brings together scholarly networks, multidisciplinary research work, entrepreneurial endeavours, creative works, knowledge mobilization and community-led research activities from across the university.

Actions:

1. Publicize and promote research outcomes and successes both internally and externally to enhance our innovation ecosystem.
2. Formulate and support institutionally-led formal training programs and activities for researchers and community partners in innovation and entrepreneurial initiatives, knowledge mobilization and community-engaged research activities.
3. Coordinate and strategically communicate the institution's innovation supports and services through centralized communication tools.
4. Engage and connect diverse funding sources to support innovation including social innovation, commercialization, mentorship, upskilling, experiential learning and training through interdisciplinary entrepreneurial and socially innovative research.
5. Develop innovation, commercialization and social impact annual reports to share with internal and external partners.
6. Create an online searchable database platform of all knowledge mobilization, commercialization and social innovation initiatives across the university.

7. Designate Research Impact Canada champions to support the social and cultural impact of research output.

8. Develop an intellectual property approach that better supports early-stage ventures and entrepreneurs and highlights ways to ensure that non-patentable inventions are adopted by local, national and international communities.

Objective 3.2

Establish an institutional Innovation Fund to provide risk capital to support high-growth innovation, knowledge creation and entrepreneurial initiatives developed and led by institutional researchers.

Actions:

1. Strategically invest risk capital from the Innovation Fund in business startups by leveraging innovation, knowledge creation, artistic and entrepreneurial activities developed by researchers.

2. Create pathways for the development and support of proposals to the Innovation Fund, and establish an independent investment committee to manage the fund.

3. Use the Innovation Fund to support the mobilization of research, innovation and creative and artistic activities and initiatives for commercialization or community implementation programs.

4. Use the Innovation Fund to develop companies for scale and reinvest financial gains in the institution, highlight best practices and contribute to further research and innovation.

Objective 3.3

Translate and mobilize knowledge, innovation, entrepreneurial research, research creation and creative works to enable, foster and support the formation of public, private and community partnerships.

Actions:

1. Build and support partnerships with municipal, provincial and national governments, Indigenous nations, not-for-profit organizations and the private sector to collaboratively develop and implement innovative, creative, artistic, entrepreneurial and commercial solutions to shared challenges.

2. Where appropriate, translate research and creative works outcomes into policy or regulatory frameworks to address government and societal priorities.

3. Integrate institutional commercialization assets into a cohesive network that will be a major player in the external innovation ecosystem of Alberta and Canada.

4. Refine and streamline all intellectual property and commercialization policies to stimulate and support institutional entrepreneurship activities.

5. Showcase our artwork, creative performances and collections locally, provincially, nationally and globally.

6. Develop relationships and collaborate with Indigenous, northern and equity-denied communities and civil society organizations to define and stimulate community-driven and community-led research and implementation programs.

7. Leverage the strength of centres and institutes to stimulate, nurture and enhance industry partnerships and community-led and engaged research.

8. Conduct ongoing environmental scans of municipal, provincial and national priorities and strategies to align strategic and emerging research directions.

Objective 3.4

Recognize, celebrate, reward and communicate all forms of innovation, entrepreneurship and creative and artistic work and their impacts.

Actions:

1. Create events to celebrate innovation awards and showcase researchers.
2. Draw from existing initiatives, hubs and teams to create forums for researchers and university innovators to share innovation narratives.
3. Incentivize innovation, entrepreneurship, commercialization and creative activities through a framework of financial support and a reward system.
4. Develop release opportunities for researchers and innovators to facilitate and reward entrepreneurship, social innovation and commercialization activities.

Key Indicators:

1. Increase spinoffs, startups, licences and non-patentable inventions being adopted by external partners and communities by 35% by 2028.
2. Launch the Innovation Fund to directly invest in startups from early-stage concepts (pre-seed) to the first stage of company creation by 2024 and grow the Innovation Fund to $50 million by 2028.
3. Increase sponsored research revenue from programs that support experiential learning and skills training through research by 50% by 2028.
4. By 2028, support at least two Indigenous-led initiatives that define and stimulate public, private and community-engaged research and impact.
5. Increase success rates by 15% for research in social innovation, entrepreneurial initiatives, research creation, fine arts and community-led initiatives by 2028.

4. Enhance the University of Alberta's Global Research and Innovation Leadership

Claiming our place among the world's top research universities will require us to be clear about and broadly showcase our areas of global excellence and growth in order to address grand challenges. We will do so by deliberately building high-priority, collaborative opportunities across our university in ways that actively leverage sole-investigator-driven research activities and encourage the formation of multidisciplinary, diverse research teams. As a leading research-intensive institution, we will continue to support fundamental research, foster emerging researchers to become experts in their fields and support established scholars to drive targeted research and innovation to generate international recognition with local and national impact. We will also strategically enhance our external engagement with funders, potential research and innovation partners and community groups, and strengthen our involvement in international research networks.

Objective 4.1
Broaden, deepen and sustain existing areas of global excellence and growth for addressing grand challenges, while building areas of emerging strength.
Actions: 1. Prioritize multi-partner, multi-institutional and international collaborative research and funding initiatives that target areas of global excellence and growth to address grand challenges. 2. Align research chairs and allocations for infrastructure funding with areas of research strength, innovation and creative activity, while honouring our commitments to EDI and Indigeneity. 3. Leverage the colleges to conceptualize and lead large-scale, collaborative, multidisciplinary research initiatives.

4. Build high-priority collaborative opportunities across the academy, including sole-investigator-driven research activities, formation of multidisciplinary and diverse research teams, training and translation of skills to address major shared challenges with the public and private sectors and civil society.

5. Leverage the strength of centres and institutes across the university to create and nurture multidisciplinary research hubs or networks in areas of global excellence and growth in addressing grand challenges for maximum impact.

6. Leverage the strength of centres and institutes across the university to respond to targeted multidisciplinary research and training challenges, priorities and funding calls.

7. Strategically mobilize university resources to increase and leverage research funding from diverse government, industry, not-for-profit and community sources.

Objective 4.2

Strategically align areas of global excellence and growth for addressing grand challenges as well as emerging areas of strength with evolving institutional, government, community and societal priorities.

Actions:
1. Establish an institutional Strategic Research Initiatives Fund to support and leverage areas to address grand challenges for maximum impact, innovation and creative activity, and increase sponsored research funding.

2. Create strategic advisory groups of institutional, local, regional, national and international experts for each area of global excellence and growth to address grand challenges for maximum impact to provide current knowledge, critical thinking and analysis on research directions and priorities.

Objective 4.3

Strengthen our participation in key municipal, provincial, national and international research networks.

Actions:

1. Secure membership and committee participation in recognized networks that align with institutional areas of global excellence and growth as well as emerging areas of research excellence.

2. Collaborate with all levels of government on mutual priorities and leverage funding support to build municipal, provincial, national and international partnerships.

3. Integrate international institutional partners in large-scale multidisciplinary research initiatives and funding opportunities.

4. Sustain participation in key international research networks to develop meaningful, mutually beneficial and sustainable research partnerships.

5. Engage in advocacy and outreach to build awareness of research, innovation and creative work, in collaboration with industry and community partners.

Objective 4.4

Build or expand relationships with researchers from emerging market economies in the Global South through international research collaborations.

Actions:

1. Build bilateral relationships with institutions across the globe with a focus on countries in the Global South to enhance our global citizenship and strengthen our research through a diversity of perspectives.

2. Mobilize research activities and outcomes informed and led by researchers from countries in the Global South and emerging market economies to work in

partnership for mutual and reciprocal societal, cultural, economic and environmental benefits.

Objective 4.5

Broaden the reputation of the University of Alberta locally, provincially, nationally and internationally through targeted communications and promotional activities.

Actions:

1. Targeting local communities, provincial, national and international markets, celebrate and highlight institutional strengths and accomplishments in key research areas through digital marketing and promotional assets.

2. Create a research impact framework that aligns with the San Francisco Declaration on Research Assessment (DORA) to measure and communicate the impacts of research, innovation and creative activity, including contributions to the broader civil society.

3. Expand institutionally coordinated visits to selected international priority partners and other emerging or potential partners annually to promote our research brand and build relationships.

4. Develop an annual report on research and innovation, including research outcomes, institutional rankings, funding data and success rates to share with internal and external partners.

Key Indicators

1. In alignment with the University Strategic Plan, increase annual sponsored research revenue to $650 million by 2028 and $750 million by 2033.

2. In alignment with the University Strategic Plan, become one of the top three

ranked U15 universities in annual sponsored research revenue by 2033.

3. In alignment with the University Strategic Plan, become one of the top 50 internationally ranked universities by 2033.

4. Increase annual sponsored research revenue from the Tri-Agencies by 15% by 2028.

5. Increase sponsored research revenue per faculty member by 20% by 2028.

6. Increase the university's SDG ranking to 5th overall in the world by 2028 by addressing grand challenges for maximum impact.

7. Create at least six new bilateral research partnerships with institutions in the Global South by 2028.

8. Increase research grant applications involving government, industry and community partners by 30% by 2028.

9. Establish partnerships with industry, not-for-profit organizations and communities in local and regional contexts that result in a 15% increase by 2028 in Tri-Agency partnership programs and other partnership program funding.

10. Establish two college-led initiatives per college per year targeting interdisciplinary, high impact, collaborative funding.

Addressing Grand Challenges for Maximum Impact

> **Addressing Grand Challenges**
>
> Our university values and is committed to supporting high-calibre research and creative activities across all disciplines and in all areas of research. Highlighting research areas in which we have global excellence, as well as areas of leadership primed for further growth to address grand challenges, provides a way of focusing attention and investment in order to achieve maximum impact.
>
> Investments and initiatives will be designed in ways that underpin the areas of excellence and growth to address grand challenges, while enhancing research and creative activities in new and emerging areas.

As a comprehensive, research-intensive university, we are proud of our commitment to high-impact research and creative activities across all disciplines. Our university has opportunities to harness this robust body of scholarship in ways that allow us to address grand societal challenges through research and innovation.

The goal of addressing these grand challenges will guide our investments and initiatives to significantly enhance capacity and multidisciplinary collaboration.

> **Curiosity-Driven Research Today Produces Tomorrow's Areas of Global Excellence**
>
> We have been a national leader in fostering ideas that have long-term impact on Edmonton, Alberta, Canada and the world.
>
> Supporting new and emerging research and scholarship activities in areas such as quantum science, security and defence, planetary health, space technologies, social implications of climate change, diasporic African and Black communities, design studies, performing arts and global mental health will set the stage for global excellence in the future.

These grand challenges will be addressed under two themes:

- **Global Excellence** in areas where our university has broad, long-term and deep institutional strength
- **Growth** in areas of leadership that will continue to further position the University of Alberta as a top global research institution.
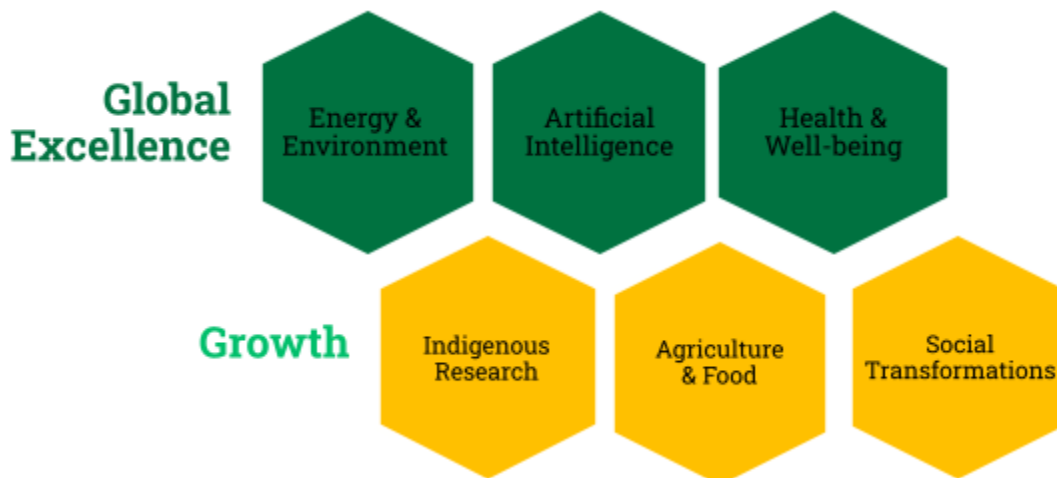
In the context of global excellence and growth, our goal is to leverage our unique strengths by providing detailed insight into how we can make the greatest impact. We recognize the importance of the intersection between and the multidisciplinary nature of these areas for maximum impact. Our approach therefore is synergistic and collaborative, designed to bring together the depth and breadth of our researchers with industry, government and community partners to co-develop deeper understandings of, and innovative solutions to, grand challenges of our time.

Global Excellence

Energy and Environment

Energy systems, resilience and climate change mitigation

Our deep and renowned expertise in energy has taken on new significance in the face of the environmental crisis and the global climate emergency. It is a challenge that demands innovative solutions for stable, reliable energy in a net-zero emissions future.

Our researchers are at the leading edge of developing the technologies to produce, store, transport and deliver cleaner, reliable energy sources in ways that drive us to net-zero emissions and help meet global climate change commitments. Importantly, this research is occurring across the continuum of energy systems — from production through to transmission, storage and consumer use.

It also includes robust social science and humanities research to address policy, regulatory and ethical issues and explore the unique implications of energy transition alongside diverse peoples and communities, including Indigenous communities.

Impact in Energy

- One of the top 10 universities globally for energy systems research
- Ranked as one of the top 50 academic institutions for energy and climate subjects
- More than 50 research chairs in energy and environment
- More than $1B invested in over 170,000 m^2 of energy research infrastructure
- First to discover technology to unlock bitumen from oil sands
- Researchers inform policies, such as Alberta's Hydrogen Roadmap

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Energy and Environment Research and Innovation Directions:

- Discover, develop and translate resilient renewable energy technologies and energy transition solutions, including hydrogen, wind, solar, geothermal and biomass fuel sources.
- Develop new methods and technologies to make more efficient use of conventional energy sources, reduce greenhouse gas and carbon emissions, and support carbon capture, utilization and storage.
- Address the impacts of energy systems on humans and the environment, including soil, water, air and biodiversity.
- Formulate and improve land reclamation and contaminant remediation measures to address environmental impacts.
- Address energy systems in northern climates with below-freezing temperatures many months of the year.
- Broaden our understanding of the social implications of energy use and the transition to a net-zero economy.

Artificial Intelligence

Artificial intelligence, machine learning and data science

Over the past three decades, our institution has been at the foundation and forefront of global research in artificial intelligence (AI) and machine learning. Our university's innovations have already made key contributions to reinforcement learning, video game design, health informatics, precision health imaging and diagnostics, smart prosthetics and robotics, automated legal reasoning, language learning, financial forecasting, artistic practice, linguistic research, smart agriculture tools, optimization of oil and gas recovery and water treatment.

Importantly, these inquiries also extend to exploration and a deeper understanding of the social, cultural, economic, ethical, ontological and privacy implications of AI, machine learning and data science. We will continue to lead the discourse around how

these technologies will interact with diverse peoples, including the incorporation of Indigenous worldviews and epistemologies.

Excellence in Artificial Intelligence

- First to launch a computer science department in Canada
- Ranked #2 in Canada for AI research (based on US News Global University AI rankings)
- Partners with one of Canada's three national AI hubs
- More than 35 Canada CIFAR AI Chairs and 15 other research chairs
- Nearly $100M in funding for AI since 2017

Artificial Intelligence Research and Innovation Directions:

- Advance applications of artificial intelligence to autonomous systems, space technologies, smart buildings and cities, quantum technologies, smart agriculture and health.
- Integrate artificial intelligence, machine learning and data science for autonomy, adaptability and reliability of net-zero energy systems.
- Analyze the intersectional, social, cultural, ethical and educational impacts of artificial intelligence, and use AI in artistic practice to study the ways in which it shapes race and gender relations, equity and diversity.

Health and Well-Being

Health, disease prevention and life-course approaches to care and well-being

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Our university's health research and innovation has a planetary health focus that establishes intersections among the environment, energy, food security, agriculture and physical activity. We are a leader in integrating social determinants of health —such as income, education, social status, gender, race, ability and other intersectional identities as well as access to nutritious food, physical activity, housing and employment — into scholarly discourse and actionable interventions to address health inequities. Our work in life-course approaches to advance the physical and mental health and well-being of

children, women, as well as aging and elderly populations is locally, nationally and internationally recognized.

With this incredible and versatile strength, we are ready to respond to an array of public health issues and threats, including emerging pathogens. Our deep expertise in clinical trials and translational research will bolster our institution's impact in areas such as disease management and prevention, biomedicine and next-generation therapies.

Accomplishments in Health

- 2020 Nobel Prize Laureate in Medicine, Dr. Michael Houghton, for discovery of the Hepatitis C virus
- More than $90M for the Li Ka Shing Institute of Virology and $55M for pandemic preparedness
- Home to one of five national Canadian Biomedical Research Fund Hubs, The PRAIRIE Hub for Pandemic Preparedness
- More than $100M in research funding for precision health, intelligent medical devices and therapeutics
- Leader of the $80.5M Canadian Critical Drug Initiative to create 1,000 high-paying pharmaceutical jobs
- More than $100M for the Women and Children's Health Research Institute.
- More than 75 research chairs in health and well-being

Health and Well-being Research and Innovation Directions:

- Expand and translate knowledge from a life-course perspective and an intersectional lens through multidisciplinary and community-engaged research to advance the health and well-being of all, including underserved populations, with a focus on women and children.
- Discover and develop new vaccines, cell-based therapies and small molecule therapeutics.
- Accelerate cutting-edge research in digital health and applications of artificial intelligence.

Growth

Indigenous Research

Indigenous research, community engagement and relationships

The University of Alberta views research, creative activities and innovation as opportunities to build meaningful relationships and engage with First Nations, Inuit and Métis Peoples. This vision is strengthened by *Braiding Past, Present and Future: University of Alberta Indigenous Strategic Plan,* an Indigenous-led and Indigenous-written five-year plan that outlines how Indigenous Peoples, languages, cultures and worldviews are reflected in everything the university does.

As we respond to reconciliation Calls to Action framed around supporting the research priorities of Indigenous Peoples and communities, our university has expanded Indigenous resiliency and resurgence research to resist narratives of Indigenous deficiency and disappearance. Our institution is recognized for long-term excellence in research and teaching, with programs that place Indigenous self-determination at the core of theory, research and technology development.

Through collaborative partnerships with local and regional Indigenous communities and multidisciplinary research programs, the University of Alberta will excel as an engaging, inclusive leader in decolonial and anti-colonial research, championing Indigenous leadership and self-determination in research and innovation. Building on these initiatives and accomplishments, our university is forging a path to strengthen international recognition of our excellence in Indigenous research, Indigenous-led and community-engaged initiatives and theoretical and methodological innovations.

> **Community through Indigenous Relationships**
>
> - More than 50 years of education and research in Indigenous Teacher Education
> - Forty years of excellence in Indigenous Studies research
> - Home of a Faculty of Native Studies, unique in Canada and one of the world's leading Indigenous Studies programs
> - Numerous Indigenous-led and Indigenous-engaged community research initiatives
> - $24M Ărramăt Project supporting health and well-being of Indigenous communities and environments
> - Growth in the number of Indigenous doctoral research students
> - Home to seven academic and affiliated institutes, centres and initiatives dedicated to Indigenous research

Indigenous Research and Innovation Directions:

- Expand Indigenous-led research capacity and foster initiatives that promote Indigenous self-determination and positively impact Indigenous community well-being.
- Encourage and resource ethical Indigenous community engagement and research.
- Broaden the capacity and impact of Indigenous research in both existing and new initiatives.
- Concretely respond and act upon the Truth and Reconciliation Commission of Canada Calls to Action, particularly, though not exclusively, through primary, secondary and post-secondary education.

> ## Agriculture and Food
>
> Sustainable agriculture, resilient food security and value-added diversification

The University of Alberta is a leader in innovative agriculture, resilient food systems, nutrition and human health and animal science. Research in environmentally sustainable resource development and management underpins our strength in

climate-friendly agriculture and food, including activities related to natural resources, water, soil, biodiversity, forest and land use management, ecosystem services, cropping systems and livestock. Our multidisciplinary approach has allowed us to tackle major national challenges to optimize the sustainable use of rangelands, develop technologies (e.g., "omics"), including digital technologies to create smart agriculture systems, develop new value-added oils for health, and drive innovation in Alberta's world-recognized beef and canola sectors.

We will continue to use our expertise to shape public policy and clinical practice, such as policies to promote the provision of safe, healthy and nutritious food to children and in school food environments and defining nutritional requirements for different population groups through an intersectional lens.

Leadership in Agriculture

- More than 100 years of training and research in agriculture
- Leading innovation in 5G living lab and smart agriculture
- Ranked in the top 20 globally for UN Sustainable Development Goals of Zero Hunger and Life on Land
- Forestry school is ranked in the top five globally
- Leading growth in digital and cellular agriculture research and innovation

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Agriculture and Food Research and Innovation Directions:
- Develop a deeper understanding of, and create solutions for, resilient food systems that will improve the health of individuals, enterprises and communities.
- Develop value-added products built on sustainability principles for climate-friendly economies in collaboration with local communities.
- Critically engage with and use artificial intelligence and digital technologies to create next-generation smart agriculture and food systems and to advance forest and land use management.

- Advance the future of food from petri dish to protein, developing new industries and new sustainable, climate-smart options for consumers through cellular agriculture.

Social Transformations

Advancing social betterment in the 21st century

Exploring what it means to live, learn, work, express ourselves and advance social change drives University of Alberta researchers engaged in critical, creative and empirical research. Across many fields of inquiry, we are tackling challenging questions about the diversity and interconnectedness of the human condition, through the interpretation of cultural, historical, literary, political, religious and social narratives, and by understanding societies through their legal traditions, organizational structures, pedagogical practices and creative, performing and fine arts as well as research creation.

There has never been a more urgent need for artistic, cultural, educational, legal, organizational and social sciences expertise to address global conflicts, violence and ongoing colonialism. Intersections with environmental and health crises, growing racism, high levels of transphobia, ableism, gender inequities and other forms of societal injustices are part of this complicated picture.

Our creative practices, critical analyses and local, provincial, national and international community-based interventional research continue to explore and implement social improvements for individuals and communities. We also recognize the value of community-led, industry and government partnerships for the co-creation of knowledge and solutions for local, regional, national and global challenges.

Social Responsibility through Research

- The University is a top seven global leader in achieving the United Nations' Sustainable Development Goals
- Long-term multi-million dollar funding, and multiple awards for excellence, in the histories of race, gender and colonialism
- More than 1,500 trainees involved in community service learning and research
- Significant growth in energy policy research, health law, and criminal justice and injustice
- Multiple Canada Research Chairs in critical disability studies, feminism and intersectionality, deaf education, politics of citizenship and human rights, Black global studies and decolonial practice, and educational measurement
- Internationally-recognized centres and institutes dedicated to people, community and change

Social Transformations Research and Innovation Directions:

- Advance knowledge, social innovation and public policy to tackle inequities and better address intersectional forms of social oppression.

- Deepen community-engaged research commitments, methods and impacts to collaboratively redress social injustices.

- Engage interdisciplinary, arts-based and social sciences expertise necessary to effectively address complex human behaviours in the face of the global climate crisis.

- Develop international partnerships for further research and solutions in support of the UN Sustainable Development Goals that aim to confront the most pressing issues affecting our world today.

Next Steps

This plan is a living and evolving strategic vision for research and innovation at the University of Alberta. The next steps for implementation will:

- Continue to integrate and align this plan with the implementation of the *University Strategic Plan*.
- Support the colleges, faculties, centres and institutes to develop their own strategic plans, including guidance on how their individual strategic plans can be integrated with this plan.
- Conduct annual reviews of progress made in achieving the goals and objectives of this plan, including measurement of key indicators.
- Review the plan, including the focus areas to address grand challenges for maximum impact, after three years.
- Support the development of a comprehensive research impact framework that recognizes the importance of assessing research impact fairly, inclusively and holistically.
- Ensure an ongoing commitment to reconciliation through engagement, dialogue and consultations with Indigenous researchers and communities.

Note on the Timeline

Our journey to sustained research and innovation excellence is measured in milestones and marked by clear targets. This vision will propel the university forward over the next five years, with specific indicators to help us chart our progress.

- One Year (2024): As we strengthen our strategic foundations, we will foster new partnerships, enhance interdisciplinary and local, national and international collaborations, and further reinforce principles of academic freedom, equity, diversity inclusion and decolonization.

- Three Years (2026): Our intended goal is a diverse research and innovation portfolio with global impact that addresses grand challenges and contributes to enhancing our societies, the economy and the environment.
- Five Years (2028): By the end of five years, we aim to establish the University of Alberta as a global leader in research and innovation in the areas of Indigenous research, agriculture and food and social transformations for advancing social betterment, in addition to creating broader and deeper local, global and national impacts in our established areas of excellence. Our success will be marked by significant contributions to policies and practices at local, regional, national and international levels, thereby enhancing our global impact.

In addition to the milestones outlined above, the Office of the Vice-President (Research and Innovation) will undertake an annual assessment of our progress in achieving the plan's key indicators.

The Office of the Vice-President (Research and Innovation) is dedicated to regular and transparent engagement with all university partners. We will not only share updates and seek feedback but also celebrate our achievements together, reflecting the shared nature of our journey.

This *Strategic Plan for Research and Innovation* will guide us through each step, from today's efforts to tomorrow's successes, and beyond.

Conclusion

Through decades of research and creative activities across a wide range of disciplines, the University of Alberta has built a proud and impressive legacy of learning, knowledge creation and innovation. It is a legacy that has been fashioned through the curiosity, dedication and tenacity of high-calibre researchers and a fervent belief in the transformative power of knowledge.

Now, our university will harness these strengths to even greater effect — to maximize our impact for the betterment of Edmonton, Alberta, Canada and the world. Energized by a forward-looking, aligned research and innovation ecosystem, and an ongoing commitment to multidisciplinary collaboration, we will pursue a new chapter in our legacy of knowledge generation, mobilization and impact through innovation.

![University of Alberta logo] UNIVERSITY OF ALBERTA

2023

What We Heard:
Strategic Plan for Research and Innovation
Consultation Sessions

Prepared by Berlin Communications

Executive Summary

This report presents an overview of the consultation sessions conducted to inform the development of the University of Alberta's **Strategic Plan for Research and Innovation** (SPRI). A total of 16 sessions took place between April 28th and May 18th, 2023, aiming to capture diverse perspectives by accommodating different groups, including faculty members, researchers, administrators, government partners, and industry representatives.

We had 269 participants engage within the formal consultation process. This figure does not include participants such as the Working Group members or University of Alberta staff involved in drafting the SPRI. Of the 269 total participants, 77 participants attended virtually, 9 submitted comments through an online feedback form, and 44 participants remained mostly silent throughout the sessions.

Valuable feedback, recommendations, and actionable insights were shared throughout these sessions, leading to several noteworthy changes and actions, broadly categorized into three sections: content, format/language, and strategic communications. We have outlined a series of recommendations for updating the SPRI document to reflect the feedback we heard.

Content Changes: Key areas addressed included highlighting areas of world-leading expertise, promoting work-life balance, emphasizing overall researcher support, prioritizing quality of outcomes over quantity, exploring co-ownership of data and research, improving communication of research goals, clarifying the role of centres and institutes, integrating Indigenous perspectives, and focusing on social disparities.

Format/Language Changes: Recommendations in this category centered around using inspiring language, avoiding exploitative terms, highlighting community-led research, incorporating visual elements, ensuring consistent formatting, and appropriately engaging with Indigenous perspectives in language usage.

Strategic Communications: Participants stressed the importance of engagement with industry and community, alignment with innovation strategies, establishment of a research impact and community engagement unit, clarifying how the plan captures research impact for external partners, and creating an inspiring narrative for the SPRI.

Each consultation session was a crucial step towards shaping a comprehensive, inclusive, and future-focused SPRI. This final report serves as a testament to the collective effort and collaborative dialogue that underpins the University of Alberta's commitment to driving research and innovation.

Summary Themes

During the consultation process for the **Strategic Plan for Research and Innovation** at the University of Alberta, participants shared valuable insights that shaped the high-level themes and overarching perspectives on the plan. These themes provide a comprehensive understanding of the participants' perspectives and expectations.

Embracing Narrative and Identity: Participants expressed a desire for a compelling and inclusive narrative that goes beyond traditional disciplinary boundaries. They emphasized the importance of recognizing the university's unique strengths and diverse research areas. Participants sought a narrative that reflects the province's impact, highlights the University's transformative nature, and showcases its global leadership in research. They also underscored the significance of language and messaging that demonstrates the university's commitment to reconciliation and inclusivity.

Expanding Areas of Focus: Participants called for a broader focus that encompasses social justice, Indigenous studies, and land-based knowledge. They recommended highlighting specific areas such as arts and fine arts, health research, and the university's expertise in sectors like oil and gas. Participants emphasized the need to align the plan with global challenges, sustainability goals, and growth areas such as agriculture and agri-food. They also emphasized the importance of interdisciplinary collaboration and bridging the gap between different disciplines to create well-rounded students and citizens.

Cultivating Collaboration and Partnerships: Participants emphasized the importance of fostering collaboration and partnerships with industry, government, and external organizations. They stressed the need to engage and involve Indigenous communities, incorporating their perspectives and research needs. Participants also highlighted the significance of strengthening relationships with countries in the Global South and positioning the University as a desirable partner. They called for clearer pathways and roadmaps for engagement, aligning with national innovation conversations, and leveraging existing partnerships and networks.

Enhancing Support and Development: Consultation participants recommended efforts to address infrastructure needs, administrative burdens, and support for research administration. They emphasized the importance of addressing these challenges to facilitate research activities. Participants called for greater support in areas such as recruitment, retention, and early career academic development. They also stressed the need for mentorship, teaching, and support for undergraduate and graduate research. The value of nurturing future research leaders, promoting entrepreneurship, and fostering interdisciplinary collaboration were heavily emphasized.

Effective Plan Communication and Implementation: Participants highlighted the need for effective communication of the SPRI to all relevant groups. They suggested the importance of clear and specific goals and objectives that are ambitious yet achievable. Participants pointed to the need for transparency, accountability, and ongoing engagement throughout the implementation process. They called for incorporating feedback, monitoring progress, and adjusting as needed to ensure the successful execution of the plan. Participants also emphasized the importance of user-friendly language, clarity in key indicators and actions, and effective dissemination of the plan's goals and achievements.

Appendix A: Key Insights by Consultation Question

Question 1: What story (or stories) do you see evolving in the SPRI about research and innovation at the University of Alberta? Do you think this story (or these stories) will distinguish the U of A uniquely when compared to other institutions, and highlight the impact it has?

- Attendees expressed a desire for a more comprehensive narrative that includes diverse research areas, acknowledges the province's impact, and recognizes and expands upon the University's unique strengths.

- The document should focus more on tangible impacts and include research beyond discovery-based fields, highlighting the importance of Indigenous and community-led research.

- Attendees emphasized the need for an inspiring narrative that reflects the University's transformative nature, commitment to innovation, and global leadership in research.

- Concerns were raised about the document's approach to expansion, growth, redundancies, clarity, and its sensitivity to non-named faculties and different research areas.

- Attendees indicated a desire for more self-reflection, focus on personal growth, emphasis on inquiry, and exploration of different ways of thinking. They also suggested addressing barriers to collaboration and clarifying the term "global".

- The document could consider climate change and Indigenous research, as well as provide support for a broader range of research areas.

- The SPRI could emphasize the importance of resiliency and acknowledge the challenges faced by researchers, including recruitment and pandemic-related issues.

- The document could also highlight the need for more specific goals, research applications support, funding for graduate students, and increasing awareness.

- The SPRI could be more user-friendly and highlight areas of leadership, including infrastructure, undergraduate involvement, and research support

Question 2: After reading the goals, objectives, and tactics, which ones resonate with you the most? Why? / (External) When you view the plan holistically, is it focused and targeted to engage with communities and support the needs of industry or government? / (Indigenous and Native Studies) If you're familiar with the Braiding Past, Present and Future: University of Alberta Indigenous Strategic Plan, how do you see both documents aligning?

- Attendees expressed a desire for a heightened focus on teaching and education, emphasizing how nurturing future leaders can be achieved through better support for undergraduate research, strengthened early career support, and preparation for future challenges.

- Participants suggested prioritizing global partnerships, particularly with developing countries, to broaden the University's impact.

- Attendees suggested that the communication of the plan's applicability could be improved across all disciplines, including social sciences, humanities, and fine arts.

- Attendees appreciated and further encouraged the emphasis on infrastructure needs and reducing administrative burdens to facilitate research activities.
- There were suggestions to specify the role of centres and institutes within the research ecosystem and provide sufficient resources for them to support research and collaboration.
- Consider Indigenous perspectives, language, and values throughout the plan and a stronger emphasis on social justice, and land-based knowledge.
- Strengthened collaboration with industry, government, and external partners and clearer engagement roadmaps was articulated as an important piece.
- Highlight the University's strengths, aligning the plan with national innovation conversations and provide more specific examples.
- Prioritizing health-related research and enhancing knowledge mobilization strategies was recommended.
- Tackling recruitment, retention, development, and support challenges for researchers and their families was frequently highlighted as a need.
- Attendees consistently suggested aligning the plan with global challenges.
- Attendees stressed the importance of entrepreneurship and providing robust support for spin-offs and startups.

Question 3: In your opinion, do the goals, objectives, and tactics adequately respond to the significant trends, drivers, challenges, and opportunities shaping research and innovation in the world today? If yes, how does it do this? If not, what is missing?

- Balancing between university rankings, reputation, and research impact is considered important.
- Attendees urged the use of language that promotes mutual benefits and reciprocity in partnerships.
- They also highlighted the need to connect community involvement in research to student recruitment and engagement.
- It was suggested that the definition of health should be consistent and broad, focusing on holistic solutions.
- Attendees recommended the prioritization of mentorship, teaching, and students' roles within the plan, advocating for the fostering of a supportive, inclusive research culture that adeptly manages workload and environmental concerns.
- Attendees believe it is crucial to acknowledge the University's historical shortcomings with honesty and to intensify the focus on the humanities, showing a commitment to continuous improvement and diverse academic fields.
- Addressing faculty renewal, attrition, capacity concerns, and the importance of competitive salaries is regarded as important.
- Attendees emphasized the importance of open access, open education, and open science.
- They also suggested incorporating long-term impact considerations and democratic institutions into the plan.
- It was proposed that some acknowledgement of the feasibility of achieving stated tactics and indicators is important.

- Attendees consider the balance between commercialization and knowledge generation important and understand it is difficult.
- Attendees recommend increasing community engagement and translating knowledge to the community, focusing on Indigenous relationships.

Question 4: Do you have any feedback on the key indicators or suggestions for additional key indicators? / (External) Does this Plan align with the priorities of your organization or sector? Does it motivate you to engage or partner with the University on research and innovation activities? Are there any major areas of focus that are missing?

- Attendees emphasized the importance of aligning the plan's indicators with internal processes and international goals such as the 2030 Sustainable Development Agenda.
- Clear and appropriate language throughout the document was highlighted, with specific attention to terms like "tactics" and language surrounding Indigeneity and Indigenous research.
- Suggestions were made to consider alternative metrics for research impact and foster an entrepreneurial culture within the institution.
- Attendees stressed the need for effective data collection methods to capture diverse research outcomes.
- Key indicators should be relevant to different audience needs, qualitative to provide a more holistic view, and better aligned with the plan's priorities.
- Incorporating support systems for securing Tri-Council funding and implementing efficient measures to track progress was recommended.
- The plan should acknowledge the impact of the pandemic and address decolonization and anti-oppression.
- Attendees emphasized the importance of involving partners in decision-making processes and ensuring transparency in indicator data production.

Question 5: Will this plan advance the impact of the University of Alberta? If so, in what ways? If not, what is missing?

- Attendees believed the plan could enhance the University's societal impact and position it as a desirable partner by providing a framework for research efforts.
- Successful implementation and effective communication were seen as catalysts to energize researchers and administrators, fostering hope and positivity.
- The importance of interdisciplinary collaboration and community impact was emphasized, along with better alignment with the Indigenous Strategic Plan.
- Balancing ambition for funding with a focus on humanities and arts may not be as financially lucrative was suggested for consideration.
- Exploring synergies with other institutions in Alberta was seen as a way to strengthen the University's impact.
- Continuous engagement and incorporating feedback into ongoing implementation were deemed essential.
- Providing incentives to encourage exploration of new research areas and ensuring infrastructure and funding support were seen as crucial.
- The achievement of key indicators would demonstrate impact, but attention to implementation details, milestones, and setting realistic expectations was also emphasized.

Question 6: What immediate successes/achievements do you see this plan enabling when it is implemented? [NOTE: this question was often not asked or reworded as final advice]

- The recognition and acknowledgment of attendee input and the importance of policies were seen as immediate successes, further ensuring attendees feel informed, interested, inspired, and involved.

- The role of the Indigenous Strategic Plan as a model for strategic planning should be recognized.

- Addressing the need for tangible change and alleviating concerns about potential inaction were seen as positive outcomes.

- Attendees highlighted the importance of mitigating tensions and competition among equity-denied groups.

- Recognizing the importance of tangible change, interdisciplinary collaboration, and clear pathways for researchers were seen as immediate successes.

- Acknowledging achievements in faculty renewal and critical infrastructure recognition were noted.

- Consideration of social betterment as a key pillar was suggested.

UNIVERSITY OF ALBERTA

Office of the Vice-President (Research and Innovation)
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2023-24 UASU Executive Goals

THIS IS YOUR
UASU

GFC
September 18th, 2023

2023-24 UASU Executive Team

Levi (he/him)
Vice-President Operation$
& Finance

Chris (he/they)
Vice-President External

Christian (he/him)
President

Pedro (he/him)
Vice-President Academic

Michael (he/they)
Vice-President Student Life

Exec Goals:
Values and Planning Ahead

Why Does it Exist?

The annual Executive Goals is the executive team's formal plan of what we want to accomplish during our term

What is it informed by?

The Goals are based on integrating the Executive team's platforms, issues that have come up for the year, and the long-term goals of the UASU outlined in:

- The Aboriginal Relations and Reconciliation Committee Recommendations
- The UASU Strategic Plan

THIS IS YOUR
UASU

3

Executive Goals - Major Priorities

1. Amplify Student Voices

2. Enhance and Cultivate the Student Experience

3. Promote Comprehensive Student Learning

1 — Amplify Student Voices

1. Amplify Student Voices

1.1 Empower Students to Shape Our Future Direction

- Develop the Students' Union Strategic Plan

- Cultivate an inclusive, safe and supportive council culture through the review and improvement of governance structures and processes.

- Encourage diverse representation and inclusivity in candidate slates by increasing student awareness and participation in elections

1. Amplify Student Voices

1.1 Empower Students to Shape Our Future Direction (cont'd)

- Create a representative body for students in Augustana residence

- Support Indigenous student leaders on campus through collaboration, develop advocacy priorities that reflect Indigenous student needs specific to the University of Alberta.

1. Amplify Student Voices

1.2 Foster Grassroots Engagement with Students

- Host direct opportunities for students to engage with UASU executives

- Improve access to on and off-campus volunteer experience

1. Amplify Student Voices

1.2 Foster Grassroots Engagement with Students (cont'd)

- Renew the UASU website to improve connection and awareness of the Students' Union

- Review the student group grant application process to ensure that they effectively support student group activities on and off campus.

1. Amplify Student Voices

1.3 Grow the Public Profile of Student Issues

- Advocate for the creation of a Government of Alberta working group on Campus Sexual Violence

- Highlight inequities faced by International students to the Provincial and Federal government

1. Amplify Student Voices

1.3 Grow the Public Profile of Student Issues (cont'd)

- Collect students perspectives on the campus food vendor contract

- Evaluate the guaranteed tuition model to provide flexibility and affordability for international students

2 Enhance and Cultivate the Student Experience

2. Enhance and Cultivate the Student Experience

2.1 Alleviate the Economic Burden on Students

- Save students money through initiatives designed to reduce our operational expenses.

- Reduce our reliance on student revenue by growing and diversifying our non-student revenue streams.

2. Enhance and Cultivate the Student Experience

2.1 Alleviate the Economic Burden on Students (cont'd)

- Pursue and publish more student discount opportunities

- Improve awareness of and advocate to expand eligibility to the University's needs-based financial aid supports

2. Enhance and Cultivate the Student Experience

2.2 Streamline Campus Accessibility Navigation

- Initiate the process to build an accessible gender neutral washroom in Dewey's

- Develop a sustainable and scalable framework for the period equity initiative

- Work with University leadership to improve and expand access to academic accommodations

2. Enhance and Cultivate the Student Experience

2.3 Build a Supportive University Community

- Ensure the University continues to incorporate and develop cultural sensitivity training for counselors and that these services are accessible across our campuses

- Advocate for an increase in the Provincial Mental Health Grant to the University, with a focus on ensuring that more money flows to Augustana and Campus Saint Jean

- Push for the Sexual and Gender Based Violence Response Coordinator to become a permanent position within University administration

3 Promote Comprehensive Student Learning

3. Promote Comprehensive Student Learning

3.1 Incorporate Indigenous Student Learning

- Advocate for Indigenous course content to new and existing courses

- Improve the completion rate of residence's mandatory move-in module and expand on Indigenous and consent culture content

- Organize an Indigenous student recognition event to promote and highlight the achievements of Indigenous students

3. Promote Comprehensive Student Learning

3.2 Improve Academic Conditions and Transparency

- Improve standards and support for students in Work-Integrated-Learning terms

- Advocate for increased transparency for course selection through a syllabus bank

- Advocate to the Provincial government for improved internet infrastructure for rural remote learners

3. Promote Comprehensive Student Learning

3.3 Reduce Academic Burden on Students

- Advocate for allocation of resources to support and encourage hybrid learning

- Increase textbook affordability for students

- Advocate for the simplification of sub-degree accreditation recognition

Thanks!

Any **questions** ?

UNIVERSITY OF ALBERTA
STUDENTS' UNION

Student Savings

Increasing financial strain has affected a large proportion of students across the University over the past few years, as is reflected by consistent food insecurity and frustration with tuition increases and textbook prices. It is not uncommon for a semester's textbooks to cost more than a month of groceries. Based on advocacy from the University of Alberta Students' Union (UASU) and work from many University of Alberta stakeholders, the University adopted the Zero Textbook Cost (ZTC) indicator on BearTracks. This indicator has now been in place for two academic years, allowing students to select courses that make use of alternative no-cost material options. We estimate that participating ZTC courses saved students up to $9 million in 2021/22 and up to $7.8 million in 2022/23. We hope to further increase the impact of this program by growing the proportion of participating courses by 5% from Winter 2023 to Winter 2024.

ZTCup

The ZTCup will be an award given out to faculties to recognize achievement in reducing cost to students by significant adoption of the Zero Textbook Cost initiative. *ZTCup awards will be given out at the General Faculties' Council (GFC) meeting in February by the University of Alberta Students' Union's Vice-President (Academic)*. There will be three (3) ZTCup awards for the year:

1. ZTCup for the faculty with the largest increase in ZTC class proportion from Winter 2023 to Winter 2024
2. ZTCup for the faculty with the highest proportion of ZTC class sections in Winter 2024 (Gold).
3. ZTCup for the faculty with the second highest proportion of ZTC class sections in Winter 2024 (Silver).

This award will allow faculties to demonstrate to the University their efforts in accommodating students in our current harsh financial climate. Beyond that, the UASU will publicly highlight and acknowledge the faculties awarded with a ZTCup, to existing and incoming students.

Next steps

Each of you has the best knowledge of your faculty and how to incentivize the instructors in it to adopt their courses to ZTC. By using this knowledge to demonstrate to faculty members how lowering the student financial burden is a priority for you, you can help a collective movement to a more affordable, and hence equitable learning environment. And although there are multiple ways of pursuing this goal, they all center around communication, which can include:

- Sending out informational emails to instructors in your faculty, encouraging them to participate in the ZTC program by:
    - Filling out this Google Form to designate their course as ZTC on BearTracks in case students already do not incur any costs for purchasing course materials for their course.
    - Reaching out to their subject librarian or library.publishing@ualberta.ca for more information on locating no cost alternative course material options.
- Highlighting student affordability as a priority for you, in Faculty Council meetings.
    - For these, if you feel it would be helpful, you can always contact the UASU VP Academic at vp.academic@su.ualberta.ca to speak about ZTC, ZTCup and/or student affordability.
- Reminding instructors of this as a priority throughout the year, especially as they prepare materials for the winter term.

We hope that this awards program will incentivize more ZTC/OER uptake and demonstrate our deep appreciation for instructors who work to make higher education more affordable for all.

The Graduate Students' Association
Board Strategic Work Plan
2023-2024

Connect
Support
Advocate

GSA

Our Vision and Mission

To advocate for all graduate students to the University of Alberta and all levels of government in pursuit of a safe, supportive, respectful, accessible, and inclusive community that fosters the multi-faceted roles played by graduate students.

The GSA and the University of Alberta reside on Treaty 6 territory and the homeland of the Métis. This territory is a traditional gathering place for diverse Indigenous peoples including the Cree, Blackfoot, Métis, Nakota Sioux, Iroquois, Dene, Ojibway, Saulteaux, Anishinaabe, Inuit, and many others whose histories, languages, and cultures continue to influence our vibrant community. In acknowledging this traditional territory and its significance for the Indigenous peoples who lived and continue to live upon it, we recognize its longer history that reaches beyond colonization and the establishment of European colonies and recognize the GSA's ongoing collective responsibility in working with First Nations, Métis, and Inuit (FNMI) peoples and what that means for the work of the GSA as it aims to practice the principles of being Good Relations with FNMI peoples, Nations, communities, and lands.

2023-2024 Graduate Students' Association Executives

Graduate students elect GSA leaders each February. Here are the 2023-2024 GSA Directly-Elected Officers (from left to right): Vice-President Academic, Rija Kamran; Vice-President Student Services, Haseeb Arshad; (forward) President, Bishoi Aziz; Vice-President External, Hamid Hassani; Vice-President Labour, Muneeb Masood Raja; and Vice-President Student Life, Tiffany Kung.

What is the Graduate Students' Association?

The GSA, as established by the *Post-Secondary Learning Act*, represents graduate students at the University of Alberta and provides a wealth of services to its members to enrich the graduate student experience. A separate corporate entity, the GSA is a collegial organization which co-exists alongside the University of Alberta to fully empower, represent, and advocate for graduate students.

Concurrently, the GSA is the provincially-designated labour union for the Academically-Employed Graduate Students (AEGSs), thus bestowing it with a dual set of responsibilities and obligations.

Multi-Faith Prayer & Meditation Space

GSA Awards Night
24 March 2023

Who is a Graduate Student?

A graduate student is an emerging colleague who contributes to their field of study in pursuit of an advanced degree through collaborative work with the professoriate in research, teaching, and the cultivation of University learning environments. These contributions are accomplished through, among others: extensive course work and the development of capstone projects, theses, or dissertations (in pursuit of which graduate students are charged tuition and fees); academic employment (for which graduate students are paid): the co-creation and writing of scholarly work; contribution to the securing of academic funding; participation in the academic community via presentation, conferences, and other engagement initiatives; as well as economic contribution in the form of innovation and entrepreneurship.

The multi-faceted role of the graduate student is to take place in an environment of mutual respect and fairness — one aimed at developing skills and knowledge with lifelong benefits. This role therefore merits appropriate remuneration for labour in service of the enhancement of the institution.

What is the GSA Board's Strategic Work Plan?

The GSA Board's Strategic Work Plan is the document that steers and prioritizes the work and initiatives of the GSA in accordance with the tenets of the graduate student experience. The GSA sees this plan as a living document, shifting focus and direction as the landscape changes within the University community and beyond, often at the provincial and federal levels.

It is developed annually following extensive consultation with the graduate student community and with reference to the Strategic Work Plans of previous GSA Boards, and as such provides a planning document for this and future years.

Connect

The GSA is committed to:

PROFESSIONAL DEVELOPMENT

The GSA recognizes a need for graduate students to plan for their future and look forward beyond their education. *The GSA will:*

- Work to increase awareness of professional development in both academia and industry.
- Work in partnership with the University to expand opportunities for professional development for graduate students.
- Advocate for Co-op work opportunities for domestic and International students.

BETTER COMMUNICATION

The GSA will strive to create more opportunities for graduate student awareness and improve GSA engagement by:

- Utilizing social media to educate graduate students about GSA services and events.
- Ensuring better access to the GSA executives for graduate students and to be responsive and engaging with our members.

The GSA believes that graduate students should be provided with professional development opportunities that are essential for future career success.

Did you know?

The GSA has:

- Orientation resources specific to graduate students (we also participate in 45-50 departmental orientations annually)
- a weekly newsletter, website, and social media profiles that highlight events and ways to get involved

DECREASING UNIVERSITY BUREAUCRACY

As a result of the University's restructuring, a lot of services such as the Faculty of Graduate Studies and Research (FGSR) have become more bureaucratic and therefore, difficult to navigate. The GSA is committed to providing guidance to graduate students on how to navigate the University's redesigned and reconfigured processes and ensuring greater transparency for our students. *The GSA will:*

- Work towards making our Executives more recognized by fellow students, accessible and approachable for students to bring concerns forward.
- Work closely with University Administration to advocate for more streamlined processes to make services accessible to students.

CONNECT

A lack of stable funding and unpredictable increases in educational and other costs can cause significant strain on graduate students' health and wellness and can inhibit academic progress.

The GSA is committed to:

UNDERSTANDING A.I. TOOLS

Artificial Intelligence, or A.I., has become an integral part of our daily lives. Graduate students have been utilizing A.I tools to help them with their personal, academic, and work lives. The GSA wants to ensure that students are educated on A.I and how to effectively and ethically use them. *The GSA will:*

- Support current and future research on A.I tools and learn its role in the academic space.
- Understand and learn A.I tools and how they can be effectively and ethically used within academia.
- Advocate for clear policies that define how AI can be utilized by students in their work and maintain educational integrity.
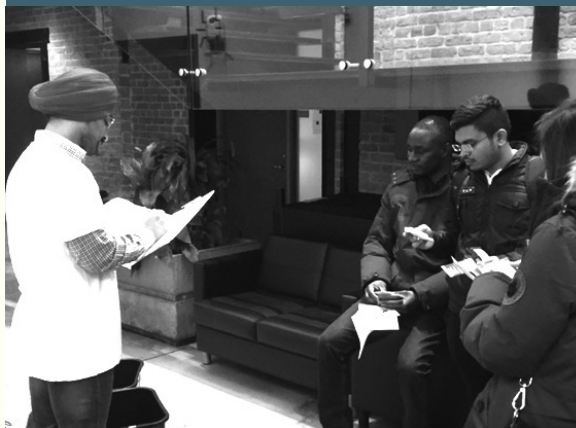
SUPPORT

The GSA is committed to:

STRENGTHENING INDIGENIZATION AND RECONCILIATION EFFORTS

The GSA will continue to:

- Advance the objectives of Truth and Reconciliation by advocating for initiatives that directly support Indigenous students.
- Work closely and support Indigenous groups and leaders such as the Indigenous Graduate Student's Association, First Peoples' House, Supporting Aboriginal Graduate Enhancement (SAGE), and the Office of Indigenous Programming and Research.
- Support and participate in Indigenous events, ceremonies, education, and advocacies as welcomed and as appropriate.

SUPPORT

As an international graduate student, the GSA gave me an opportunity to get involved with the community, and work on my professional development and public speaking skills.

The GSA is committed to:

FOSTERING RELATIONSHIPS AND COMMUNITIES

Pursuing a graduate or doctoral degree is stressful, prosperous, and sometimes, isolating. The GSA hosts many social events such as Coffee Breaks to help students connect with one another and help foster long lasting relationships. *The GSA will continue to:*

- ◆ Aim to host social events for graduate students.
- ◆ Work closely with departments and associations to create a wider range of social events.
- ◆ Foster a welcoming community and environment for International students and support them integrating into the graduate student life on campus.
- ◆ Connect and support marginalized groups and other networks.

Did you know?

The GSA has:

- ▸ graduate student lounges at Triffo Hall
- ▸ rooms available for booking
- ▸ several fun events per year

EQUITY, DIVERSITY, AND INCLUSION

We will continue to work with the GSA's Equity, Diversity and Inclusion Committee (EDIC) to fulfill its mandate to ensure that the GSA reflects the principles of Equity Diversity, and Inclusion (EDI) and represents students who identify as Black, Indigenous, People of Colour (BIPOC), as disabled or diversely abled, as students who parent, as womxn, or as LGBTTQQPIANU+. *The GSA will continue to support:*

- ◆ Initiatives that directly support marginalized and racialized students.
- ◆ Building partnerships with various groups and providing support to marginalized and underrepresented groups.

ADVOCATE

All graduate students are entitled to a safe and respectful study and work environment characterized by positive supervisory relationships and free from harassment, discrimination, and bullying.

The GSA is committed to:

AFFORDABLE AND ACCESSIBLE EDUCATION

We understand that increasing tuition costs is an important issue for graduate students. *The GSA will continue to:*

- Advocate for fair tuition and broadly accessible post-secondary education at the University of Alberta, but also — in tandem with its partner associations — for the same across the province.
- Spearhead the goal of establishing an institutional minimum for doctoral-level funding packings.
- Advocate for improved Health and Dental coverage at an affordable price.

INCREASING INTERNSHIP AND FUNDING OPPORTUNITIES

The GSA will continue to:

- Advocate for Co-op work opportunities for domestic and international students.
- Strive to secure more scholarship opportunities for international students.

Did you know?

The GSA offers:

- Emergency Bursaries
- Child Care Grants
- Academic Travel Grants
- Graduate Student Group Grants
- Recognition Awards
- Health and Dental Plan

AFFORDABLE HOUSING

Increases in rent and housing costs have caused massive strain on our graduate students due to inflation. The current offerings of official University residences are limited in terms of pricing and/or consideration for families. *The GSA will advocate for:*

- Providing strategies for reducing rent costs for campus housing.
- Providing support to graduate students who experience vulnerability in their housing situation.
- Increased support for the Campus Food Bank and continuing to work closely with them.
- Continuing to work with the Edmonton area Student Associations to advocate for affordable student housing across the city.

ADVOCATE

SAFETY ON CAMPUS

Personal safety has become a rising concern among our members and we are committed to working to ensure members are and feel safe in their University experiences. *The GSA will:*

- ◆ Engage with the various bodies across campus whose focus is on safety and security in our buildings and across campus in a holistic way that accounts for different perspectives of security.
- ◆ To support the development and implementation of restorative justice practices
- ◆ Engage in conversations with Edmonton Transit regarding safety on transit and utilizing the U-Pass.

INTERNATIONAL

We recognize the unique challenges faced by international students and will actively engage with internal and external stakeholders to advocate for their needs and provide necessary support. The GSA will continue to:

- ◆ Work collaboratively with the provincial government to address the concerns of international students and ensure support for any immigration plans.
- ◆ Strive to secure more scholarship opportunities for international students.

Did you know?

The GSA:

- ▸ meets regularly with the Dean of the Faculty of Graduate Studies and Research and the Dean of Students
- ▸ is a member of the provincial advocacy group the Alberta Graduate Provincial Advocacy Council

LABOUR

The GSA will continue to:

- ◆ Increase awareness and educate students about the Collective Agreement.
- ◆ The work of bolstering its bargaining position.
- ◆ Ensure that AEGSs are protected by legislated occupational health and safety standards.
- ◆ Ensure campus-wide compliance with the provisions of the Graduate Student Assistantship Collective Agreement by connecting with graduate students as well as the institutional units who serve these students.

Events:

The GSA will offer in-person events in the 2023-2024 year; these include Fall and Winter orientation opportunities, GSA information sessions which are offered for the benefit of graduate students, and regular social events.

Additionally, the GSA General Election takes place annually in February-March.

ITEM No. 8

Decision ☐ **Discussion** X **Information** ☐

ITEM OBJECTIVE: To provide members of the General Faculties Council with an overview of Budget Model 2.0.

DATE	September 18, 2023
TO	General Faculties Council
RESPONSIBLE PORTFOLIO	Vice-President (University Services and Finance) Provost and Vice-President (Academic)

EXECUTIVE SUMMARY: Budget Model 2.0 was developed following the Board of Governors' approval (based on recommendation by the Academic Planning Committee, General Faculties Council, and the Board Finance and Property Committee) of the nine Budget Model Principles (Attachment 1, Page 10) on March 24, 2023.

Background
The university required an updated budget model to purposefully steer the university towards revenue growth goals. A university budget model, as a set of rules, ensures that funds are appropriately distributed to academic and administrative units to advance the university's mission and strategic priorities, with misaligned models risking inadequate funding for priorities and promoting counterproductive activities.

Budget Model 2.0 addresses the inefficiencies of previous models and increases transparency of budget allocation. The model:
- fosters targeted growth and renewal,
- smooths the impact of potential government grant fluctuations,
- provides support for non-academic strategic initiatives, and
- increases accountability for operational efficiency in both faculties and portfolios.

Budget Model 2.0 Development
Budget Model 2.0 was informed by extensive research and engagement, and designed through co-creation and iterative refinement. The development followed a five-phase approach (research, engage, design and iteration, finalize and prepare, and implement) taking place from November 2022 to October 2023.

Five Expert Groups, composed of 70 diverse stakeholders from academic and administrative roles, collaborated on five focus topics (tuition revenue sharing, university-wide services and functional efficiency, strategic initiatives and subvention, research growth, and multi-year mechanisms) resulting in 16 recommendations (Attachment 1, Page 12). All recommendations, with the exception of two, were implemented in the design of the budget model.

The model was then tested and adjusted to ensure alignment with the budget principles and resulted in a budget model that allocates funds through four rules:

1. 1.25% is taken from all centrally-controlled revenues to create a pool of money that can be strategically allocated to support the implementation of the budget model and strategic initiatives. (Revenues not subject to the 1.25% University Fund deduction include: sales of services and products, ETI (exceptional tuition increase) revenue, or directed grant funding.)
2. The majority (60%) of tuition is allocated to the teaching faculty, 10% is allocated to the program faculty, and the remaining (30%) is allocated to university-wide services.
3. The Operating and Program Support Grant is first used to meet university-wide services' funding requirements that are not covered by other means. The remainder is split between teaching (60%) and research (40%), based on each faculty's teaching and research activities.
4. The majority of the University Fund is allocated to support strategic initiatives and research growth, reward performance, and smooth the implementation of the budget model. Strategic Subvention funds are allocated to Faculties by the Provost. Funding for performance and strategic initiatives will not be accessed from operations until FY 2025-26.

Budget Processes

To support the implementation of Budget Model 2.0, the budget process will be updated in advance of the FY 2024-25 budget cycle (scheduled to commence October 2023). A simplified budget process incorporating strategic planning, five-year functional plans for service units (to be phased in over the next few years), budget prioritization, and centralized control of strategic funds will support the model on a go-forward basis. This process aids in achieving the university's goals by facilitating budget modeling and allocation, with Senior Finance Partners and Finance Partners assisting client units throughout the process.

Next Steps

Though the model as designed is set to be implemented for FY 2024-25, it will be iterated in the future to ensure fit for purpose. The full transition to Budget Model 2.0 allocations will take place over a 5-year period by allocating one-fifth of the budget change annually.

Policies and processes will be updated including the development of a separate carry-forward policy for academic units and functional plans for university-wide service units. Based on discussions during the design phase, two working groups of Deans have been established to refine two inputs into the model (Faculty Cost Clusters (FCC) and institutional space cost).

Risk Discussion / Mitigation of the Risk

Budget Model 2.0 provided the organization with the opportunity to implement a budget model that supports the organizational structure and mitigates the risks associated with the previous budget model. Iterating the model on a go-forward basis and regularly reviewing the model will mitigate the risk of the university fiscal environment outdating the model and provide the opportunity to ensure the model continues to support the university.

Supporting Materials:
1. Final Briefing Note - Budget Model 2.0 (32 pages)

Contents

3. Research Support Fund and ICR allocation

Allocation to strategic funds, spaces, university-wide services and Colleges

1. University-wide services costs
2. Colleges
3. Space allocation
4. University Fund

[Appendix C Scope of funding for University-wide services](#)

Executive summary

In recent years, the University of Alberta (the university) has delivered one of the most substantial organizational transformations in university history. Among many other transformative projects, the university has designed and implemented a new operating model and developed a new strategic plan, the success of which is hinged on an effective method for funding operational and strategic priorities. The university therefore designed 'Budget Model 2.0', a fit-for-purpose budget model that aligns revenue allocation within the university with the current operating model and the vision of 'One University'.

The university has explored several different iterations of budget models including an incremental budget, an activity-based model known as 'Budget Model 1.0', and interim incremental models to navigate the recent period of significant change to the university's operating model. None of these models appropriately supported the university's new operating model or aligned directly with strategy, highlighting the need for a new budget model.

The Budget Model 2.0 project commenced in November 2022 with extensive research in budget model options and sector best practice. A set of principles was developed and approved by the Board of Governors, which guided the design team's decision to develop a simplified activity-based budget model to best suit the university's operating model and strategy. The Provost and VP USF then led the stand-up and engagement of 5 expert groups to co-create Budget Model 2.0 by presenting recommendations for each element of the model.

Once finalized and accepted by the Provost and VP USF, the recommendations were used to create a 'baseline' model scenario using FY 2024 data. Through iterative scenario modeling and in consultation with the Provost and VP USF, Resource Planning refined the model to ensure it remained aligned to the principles approved by the Board of Governors and the objectives of Budget Model 2.0. The refined model was confirmed as the model for FY 2025 by the Provost and VP USF and presented to College and Faculty leadership in June 2023.

The transition to implementing Budget Model 2.0 is planned to take place over a 5-year period to allow ample time for faculties and units to adapt. During the 2025-26 financial year, feedback will be collected by Resource Planning on the budget model, and two working groups of academic leaders will be established to offer recommendations for changes to Budget Model 2.0 to be implemented in FY 2026.

This document brings together the historical context, project process, outputs and next steps for the Budget Model 2.0 project, and provides detailed appendices on the expert group recommendations and Budget Model 2.0, as it will be implemented in FY 2025.

1. The University of Alberta required a budget model that could purposefully steer the university towards goals for revenue growth.

This section defines university budgets and budget models and describes the purpose and objectives for Budget Model 2.0.

The University of Alberta (the university) embarked on the 'Budget Model 2.0' project as part of the University of Alberta for Tomorrow (UAT) initiatives. This project built on the activity-based 'Budget Model 1.0' to create a simpler, fit-for-purpose budget model that aligned with the new university operating model and the UAT vision of 'One University'.

1.1 Strong university budget models translate strategy into reality.

Universities are highly diverse institutions that generate revenue from many sources and must distribute it carefully amongst units and functions, who then deliver a variety of activities that achieve the academic mission of the university. If not done carefully, allocating funds in universities can become overwhelmingly complex and have negative impacts on individual units or the university as a whole.

A university **budget** is the mechanism to help align action to the university's mission and strategic priorities by ensuring those priorities are appropriately funded. A university **budget model** is a tool that allocates the budget. It is a set of rules that distribute funds to all units in a university, including both academic (e.g., colleges, faculties) and administrative (i.e., university-wide service units), to advance the university's mission.

A budget model that is not aligned with the university strategy will deliver a budget allocation that does not appropriately fund the strategic priorities of the university. This can create unfavourable cost structures, inadequate funding for strategic priorities, and incentivize activities that do not deliver on the university's strategy.

1.2 Prior budget models did not meet the University of Alberta's strategic ambitions.

The university has explored several different iterations of budget models including an incremental budget, an activity-based model known as 'Budget Model 1.0', and interim incremental models to navigate the recent period of significant change to the university's operating model. The varying levels of success of these budget models called for a thoughtful approach to designing Budget Model 2.0.

The incremental budget model at the university was over complicated and impacted the ability of faculties to integrate with institution-wide changes.

Historically, the university employed an incremental budget model that proved to have several weaknesses. In incremental budgeting, adjustments are made to the previous year's budget based on available resources. This approach did not effectively allocate resources based on current academic activities and priorities. After using an incremental model for many years, including times of significant changes in strategic direction and priorities, the allocation of university budget became detached from actual activities, services and programming.

The disconnect between historical and current activities led to the creation of complex sharing and allocation arrangements to distribute a dedicated proportion of funding to specific purposes. These special arrangements and their application varied across faculties and units, creating entrenched inequalities and further complicating the allocation process.

The incremental budget model lacked transparency in decision-making and accountability for outcomes. This hindered the university's ability to align institutional strategic priorities with multi-year budget planning and reporting. To support the university's collective movement toward a 'One University', it was necessary to create a transparent and simplified budget model that all units could understand and respond to.

The 'Budget Model 1.0' intended to better align the budget model with the university strategy but was interrupted by funding cuts.

To address the limitations of incremental budgeting, the university implemented a new activity-based budget model in 2020-21, known as 'Budget Model 1.0'. This model aimed to enhance transparency and clarity in the allocation of funding to faculties, based on well-defined levers of teaching and research.

An activity-based budget model allocates budget based on the areas where work is performed in a university. This means that the levers of resource allocations are proportionate to the workload. This type of model is particularly suited for institutions seeking to shift spending from the status quo to areas that align with the strategic objectives of the university.

Budget Model 1.0 introduced several university funds to enhance implementation and strategic planning:

- *Subvention Fund:* The fund assisted academic units that require additional support to cover the costs of priority programs under the budget model. Subvention funds were to be allocated from the top of the unrestricted portion of the provincial grant.

- *Strategic Initiatives Fund (SIF):* Resources from investment income and Land Trust revenue were to be devoted to SIF and are used as one-time funding for institution-wide strategic initiatives.
- *Transition funding:* If a faculty faced negative revenue implications during the transition to Budget Model 1.0, they could have secured transitional revenue for a period of 2-3 years with approval from PEC-S.

While Budget Model 1.0 would have been effective under stable circumstances, several changes occurred both in the internal and external environment:

- Significant reductions of around 34% in government funding, starting in 2020.
- Introduction of at-risk government funding based on performance.
- Announcement of plans for significant enrollment growth.
- Centralization of administrative services through SET.
- Strategic move to operate as 'One University'.

Each of these changes would have significant implications on funding assumptions and calibrations in Budget Model 1.0. The convergence of these changes resulted in unintended consequences for faculties and posed risks to the university's academic mission. Budget Model 1.0 lacked the necessary mechanisms to address the influx of change because the model:

- Lacked adequate mechanisms to align resources with performance against metrics for government funding (as these metrics were introduced after the design on Budget Model 1.0).
- Created inequities between units arising from the centralization of services or differential growth.
- Relied on Campus Alberta Grant (now the Operating and Program Support grant) to charge for administration centralization that created a disproportionate impact on faculty budgets.
- Lacked sufficient levers to steer the overall strategic direction and incentivize unit behaviours that are aligned with strategic priorities.
- Lacked transparency, despite best efforts to simplify the model.

Interim incremental budget, FY 2023

In response to external challenges, internal change, and the adverse impact on allocations in Budget Model 1.0, the university made the decision to revert to an incremental budget model to manage budget allocation during the implementation of the new operating model. This period of significant change further emphasized the limitations of the incremental budget model for the university, underscoring the clear need for a new activity-based budget model.

'Budget Model 2.0' addressed the inefficiencies of previous models and increased transparency of budget allocation.

The university required a new activity-based budget model that would:

- Purposefully steer the university towards goals for revenue growth.
- Appropriately fund academic and university-wide service units to support the academic mission while ensuring funding is available to endorse institution-wide strategic initiatives.
- Ensure efficient resourcing vertically (within the organizational unit) and horizontally (across functions).
- Be transparent so that units understand and can accurately predict the consequences of their decisions.
- Continue to follow the One University model - must be collaborative.

To achieve these objectives, university initiated the design of an updated activity-based budget model to be known as Budget Model 2.0.

An activity-based model allows for adaptability to the university's strategic goals and enhances transparency and simplicity of budget allocations. In turn, this encourages faculties to grow enrolment, teaching and research while serving the institution's core mission and strategic plan. Across the higher education sector, activity-based budget models are used to
- foster targeted growth and renewal,
- smooth the impact of potential government grant fluctuations,
- provide support for non-academic strategic initiatives, and
- increase accountability for operational efficiency in both faculties and portfolios.

2. Budget Model 2.0 was designed to support the strategic future of the University of Alberta.

This section explains the approach to develop Budget Model 2.0 using research, engagement, co-creation, and iterative design.

With such significant changes to the university's operating model delivered through SET and academic restructuring, the university recognized the need to develop a new activity-based budget model that properly aligned with new structures and overall strategic goals.

2.1 Summary of the approach to developing Budget Model 2.0

The Budget Model 2.0 project was underpinned by extensive research and engagement, allowing the model to be designed through co-creation and iterative refinement. The development followed a five-phase approach, taking place from November 2022 to October 2023:

Phase 1 (November – December 2022): Research. Prior to commencing budget modelling, a joint working group of university subject matter experts and university sector experts from management consultancy Nous Group conducted thorough research on the challenges within the previous university models, analyzed sector best practice in revenue allocation models, and evaluated how to align the strategic goals and vision of the university with budgetary expectations.

Phase 2 (January– March 2023): Engage. The Provost and VP USF led the stand-up and engagement of 5 expert groups to provide recommendations across 5 topics. The expert groups were established to provide input to the development of the new model. Upon recommendation by APC, GFC, and BFPC, a set of principles to underpin the budget model was approved by the Board of Governors. The recommendations and principles provided the framework for the modelling. Further information included in section 3.

Phase 3 (April – June 2023): Design and iteration. Using the principles as guidance for design, the expert groups developed 16 recommendations to form the framework of the budget model. These recommendations were presented to university leaders in the Expert Group Recommendation Report, and presented to the broader community through a Townhall in April 2023. More information is included in section 3.

The Resource Planning team used the expert group recommendations to develop modelling of a 'baseline' model scenario using FY 2024 data to provide a comparison between allocations in the previous incremental model and the activity-based Budget Model 2.0.

Through iterative scenario modeling and in consultation with the Provost and VP USF, Resource Planning refined the model to remove minor adverse impacts created by the budget model recommendations in practice. The refined model was confirmed as the model for FY 2025 by the Provost and VP USF and presented to College and Faculty leadership in June 2023. More information is included in section 3.

Phase 4 (July – October 2023): Finalize and Prepare. This involved updating the budget cycle process to deliver and implement Budget Model 2.0, training finance partners, and regularly engaging with faculty and college leadership to understand the impacts of the model. Additionally, individual scenarios using FY 2024 data were presented to all 16 faculties through a series of 1:1 engagements.

Phase 5 (commencing October 2023): Implement. Faculties and standalone faculties/campuses begin to utilize the allocated budget funds for their academic and research needs.

Figure 1 | Budget Model 2.0 Project Timeline - Summary
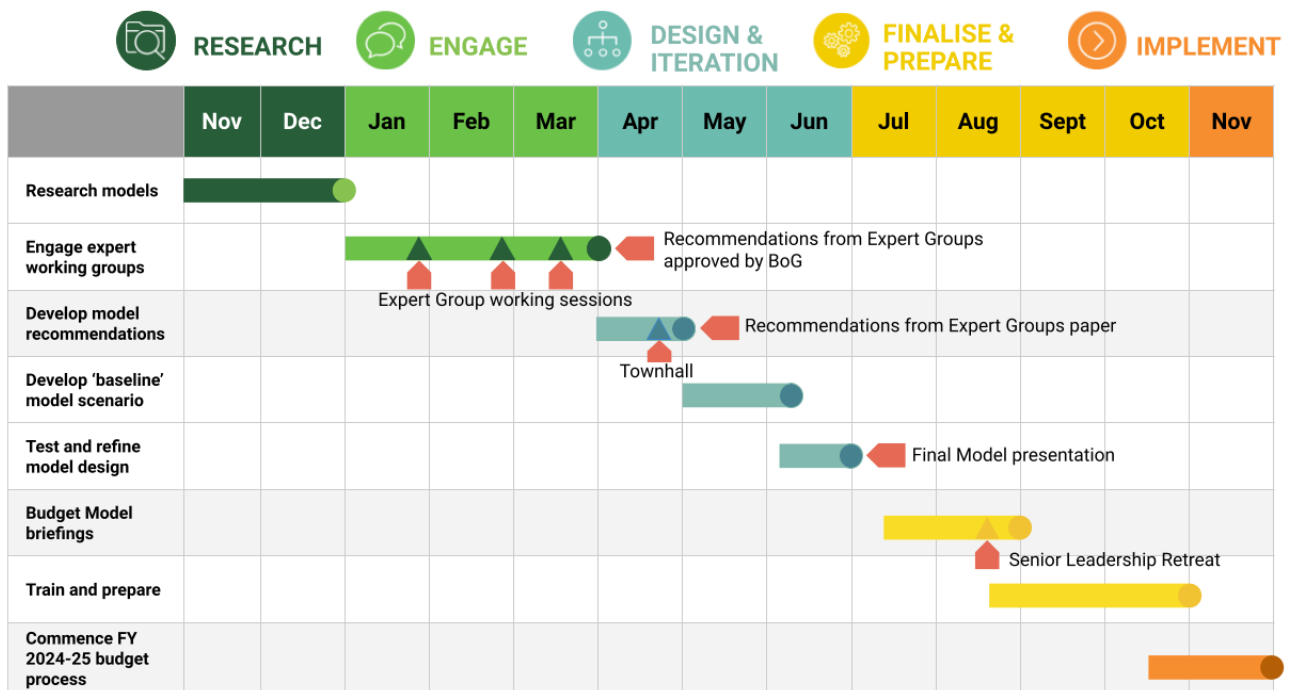
3. The final version of Budget Model 2.0 has been co-created and iterated to tailor to the University of Alberta's unique position.

This section describes the principles, recommendations and rules that make up Budget Model 2.0. More detailed information on Expert Group recommendations and the budget model rules are attached as appendices.

The university adopted a co-design approach to develop a budget model suitable for a broad range of academic and university-wide service units. This co-design approach combined principles to underpin all work on the budget model, recommendations from groups of university experts, and iterative design, explained below.

3.1 Nine principles were approved to guide the design of Budget Model 2.0

Upon recommendation by APC, GFC, and BFPC, the following principles,approved by the Board of Governors, have guided the design of the budget model:

- **Priority of academic needs** – The model prioritizes the university's core mission of teaching and research.
- **Transparency** – The rationale, process, and outcomes of resource allocation decisions are transparent.
- **Predictability** – The resource allocation method is predictable to facilitate long-term budget planning.
- **Simplicity** – The budget model and process are clear and easy to understand so that it informs responsible local decision-making.
- **Consistency** – The resource allocation rules are applied consistently across all faculties and university-wide service units.
- **Accountability** – College, faculty, and university-wide service leaders are responsible and accountable for local resource allocation decisions.
- **Equity** – To realize the One University vision, the budget model accounts for equity in resource allocation, which accounts for variations in circumstances and needs across units.
- **Collaboration** – The model provides incentives for collaboration and behaviours that support the university as a whole.
- **Strategic** – The model aligns resources with institutional strategic priorities.

3.2 Expert groups brought academic and administrative perspectives to shape the future budget model.

The university established five Expert Groups as the key part of a co-design approach, involving stakeholders and subject-matter-experts from across the university in the budget model's development. Each group focused on specific topics: tuition revenue sharing, university-wide services and functional efficiency, strategic initiatives and subvention, research growth, and multi-year mechanisms. The Expert Groups included various academic and administrative roles, such as Faculty Deans, AVPs, Vice Provosts, Faculty General Managers, senior staff from administrative teams, and Chair Representatives, with over 70 individuals involved in the discussions. These groups collectively produced 16 recommendations that significantly influenced the final budget model.

The groups explored five topics across three workshops from January to April 2023. In the first two workshops, groups discussed a set of design decisions relevant to their topic area and identified where additional information was necessary to form a final recommendation. In the third workshop, draft recommendations were reviewed and approved by the Vice-Chair of the Expert Group. Recommendations were then brought to the Vice Chairs by the Budget Model Working Group and project sponsors, the Provost and VP USF.

Figure 2 | Budget Model 2.0 Expert Group Engagements - Summary

EXPERT WORKING GROUPS

Tuition revenue sharing	University-wide services and functional efficiency	Strategic initiatives and subvention	Research support and growth	Multi-year budget mechanisms
Chair: Provost	*Chair: VP USF*	*Chair: Provost*	*Chair: Provost*	*Chair: VP USF*
Vice-Chair: Deputy Provost, Students & Enrolment	*Vice-Chair: VP F&O*	*Vice-Chair: VP USF*	*Vice-Chair: VPRI*	*Vice-Chair: AVP Finance, Procurement & Planning*

EXPERT WORKING GROUPS - ENGAGEMENT TIMELINE

ROUND 1 WORKSHOPS LATE JAN 2023 ▶ COMMUNITY INFO SHARING SESSION 22 FEB 2023 ▶ ROUND 2 WORKSHOPS LATE FEB 2023 ▶ COMMUNITY INFO SHARING SESSION 9 MARCH 2023 ▶ ROUND 3 WORKSHOPS MID MARCH 2023 ▶ COMMUNITY INFO SHARING SESSION 12 APRIL 2023

Recommendations submitted 31st March

3.3 Sixteen Expert Group recommendations shaped the design and implementation of the final budget model 2.0

The final recommendations from expert groups were split into four topics:

Tuition Revenue sharing

Recommendation 1: Share international and domestic for-credit tuition (60% teaching unit, 10% program faculty, 30% university services).
Recommendation 2: Share non-credit tuition revenue (85% unit offering the program, 15% university services).
Recommendation 3: Do not differentiate tuition share for online programs.
Recommendation 4: Review tuition-sharing arrangements in the future.

University-wide services and functional efficiency

Recommendation 5: Introduce functional plans for university-wide services.
Recommendation 6: Adopt matrix budgeting for university-wide services.
Recommendation 7: Implement space allocation approach.
Recommendation 8: Establish a University Fund.
Recommendation 9: Take funding for the University Fund off the top of general operating revenues.
Recommendation 10: Simplify the approach to allocating the provincial grant for teaching.

More information on university-wide services is included at Appendix C.

Research support and growth

Recommendation 11: Maintain allocation approach for RSF.
Recommendation 12: Maintain allocation approach for indirect costs of research (ICR), but review policy outside of the budget model.
Recommendation 13: Simplify the approach to allocating the provincial grant for research.
Recommendation 14: Initially, allocate 0.5% of operating revenues for research growth initiatives.

Multi-year mechanisms

Recommendation 15: Introduce an activity-smoothing mechanism.
Recommendation 16: Introduce a performance funding pool for faculties with collaboratively determined performance metrics.

Detailed recommendations are included at Appendix A.

3.4 Two of the 16 Expert Group Recommendations could not be accepted immediately but will be implemented in future budget years.

Once Expert Group recommendations were accepted by the Provost and VP USF, Resource Planning conducted detailed modelling to validate the design. The team created a 'baseline' scenario built on 2023-24 data to allow effective comparisons of the outputs of Budget Model 2.0 with the outcomes of the prior incremental model. At this stage, two of the Expert Group recommendations could not be fully carried through to the scenario modelling:

- **Recommendation 7: Implement space cost allocation approach:** Leaders agreed that existing space costs should be allocated to units that contributed to them rather than a one size fits all approach. To begin this journey, an indicative space cost contribution figure will be included in the FY 2025, but no financial burden will be imposed as a result. Future work will be undertaken through a working group to ensure this mechanism is implemented in a fair, accurate and transparent way.

- **Recommendation 15: Introduce an activity smoothing mechanism:** The recommended 5-year smoothing (two years of historical, current year, and two years of projected data) could not be used on Research Support Fund (RSF) and the research allocation from the Operating and Program Support (OPS) Grant due to data constraints. Instead, 3-year smoothing was employed for the RSF and OPS Grant for FY 2024. The most appropriate smoothing timeline will be assessed in the coming fiscal years.

3.5 The model was then tested and tweaked to ensure alignment with the budget principles.

The baseline scenario served as a strong foundation for understanding Budget Model 2.0 and its impact on individual units required thorough testing. The Resource Planning team iteratively improved the model through the creation of seven scenarios to achieve the goals of Budget Model 2.0 and align with the budget model principles approved by the GFC, APC and the Board of Governors. The recommended improvements were:

- **Teaching to research allocation moved to 60/40.** In the baseline submission, the Operating and Program Support (OPS) grant was split between teaching and research levers based on a 70% teaching to 30% research ratio. The ratio was adjusted for 60% to teaching and 40% to research to reflect the value of research and align with faculty mandates.
- **Changes to Faculty Cost Clusters (FCC) for several faculties.** Resource Planning modelled several scenarios with changes to the FCCs to better reflect the cost of

delivering programming. The team reviewed the FCC for stand-alone campuses and moved the FCC for CSJ and Augustana from a 1.25 to a 2 to reflect the costs of operating a campus that are not incurred by faculties based on main campus. Having used datasets from Ontario, Australia, the UK, and historical datasets from the university to understand programming costs, it was recognized that the cost of programming in a faculty of medicine is routinely heavily weighted against other faculties. The FoMD FCC was adjusted from the original value of 4 to 7 to reflect the high cost of program delivery. In addition, the FCC for the Faculty of Arts was adjusted from 1.0 to 1.25 to reflect the program costing of Fine Arts and Drama programs.

- **Changed investment income sum.** The investment income was reviewed to include a more appropriate allocation of funds. The original scenario included a budgeted amount of $30 million that was changed to $45 million.
- **Changed University-wide Services Contribution.** The team determined a fair approach to sharing university-wide services funding that included reductions from 4% to 2% to equitably share the fund among appropriate units ultimately resulting in a 2.5% reduction.
- **Adjustments to University Funds.** The design team lowered the Strategic Initiatives Fund (SIF) from 1% to 0% for FY 2025 and increased the subvention fund from 0.5% to 0.75%. This had an overall net reduction of $6M allocated directly to faculties.
- **Transition planning.** Following extensive modelling of different transition approaches and timelines, Resource Planning recommended a 5-year, straight-line transition plan. The transition will allow faculties and units to adjust to their future budget allocation over a 5-year period wherein each year sees the allocation move 20% toward the future state.

3.6 The final Budget Model 2.0 was endorsed by the Provost and VP USF to be implemented in FY 2025.

The final Budget Model 2.0 was built on a combination of Expert Group recommendations, Resource Planning's suggestions after scenario testing, and final decisions by the Provost and VP USF. Below is a summary of the budget model, as intended for implementation in FY 2025, greater detail on the model is attached in Appendix B.

The budget model established a clear, fair, and simple methodology to distribute university operating revenue – comprised of operating grants (47%), tuition revenue (43%) and other revenue (10%) such as investments and donations. The final budget model allocates funds through four rules:

1. **Allocation to the University Fund:** 1.25% is taken from all centrally-controlled revenues to create a pool of money that can be strategically allocated to support the

implementation of the budget model and strategic initiatives. (Revenues not subject to the 1.25% University Fund deduction include: sales of services and products, ETI (exceptional tuition increase) revenue, or directed grant funding.)

2. **Distribution of tuition revenue:** The majority (60%) of tuition is allocated to the teaching faculty, 10% is allocated to the program faculty, and the remaining (30%) is allocated to university-wide services.

3. **Distribution of Operating and Program Support (OPS) grant.** The grant is first used to meet university-wide services' funding requirements that were not covered by tuition revenue, investment income, and the Strategic Initiative Fund and Strategic Research Initiatives Fund. The remainder is split between teaching (60%) and research (40%), and each pool is distributed to individual faculties based on their teaching and research activities, respectively.

4. **Distribution of strategic initiatives fund, performance reward, research support and strategic subvention.** The majority of the University Fund is allocated to support strategic initiatives and research growth, reward performance, and smooth the implementation of the budget model. Strategic Subvention funds are allocated to Faculties by the Provost.

A visual representation of the allocation based on these rules is displayed in Figure 3 below, and further detail on the levers and distribution methodology can be found in Appendix B. The transition plan was confirmed as the proposed 5-year straight-line approach. Resource Planning, the Provost and VP USF will continue to collect feedback from faculties and units throughout implementation in FY 2025 to inform future iterations of the model.

Figure 3 | Budget Model 2.0 Revenue and Grant Allocation
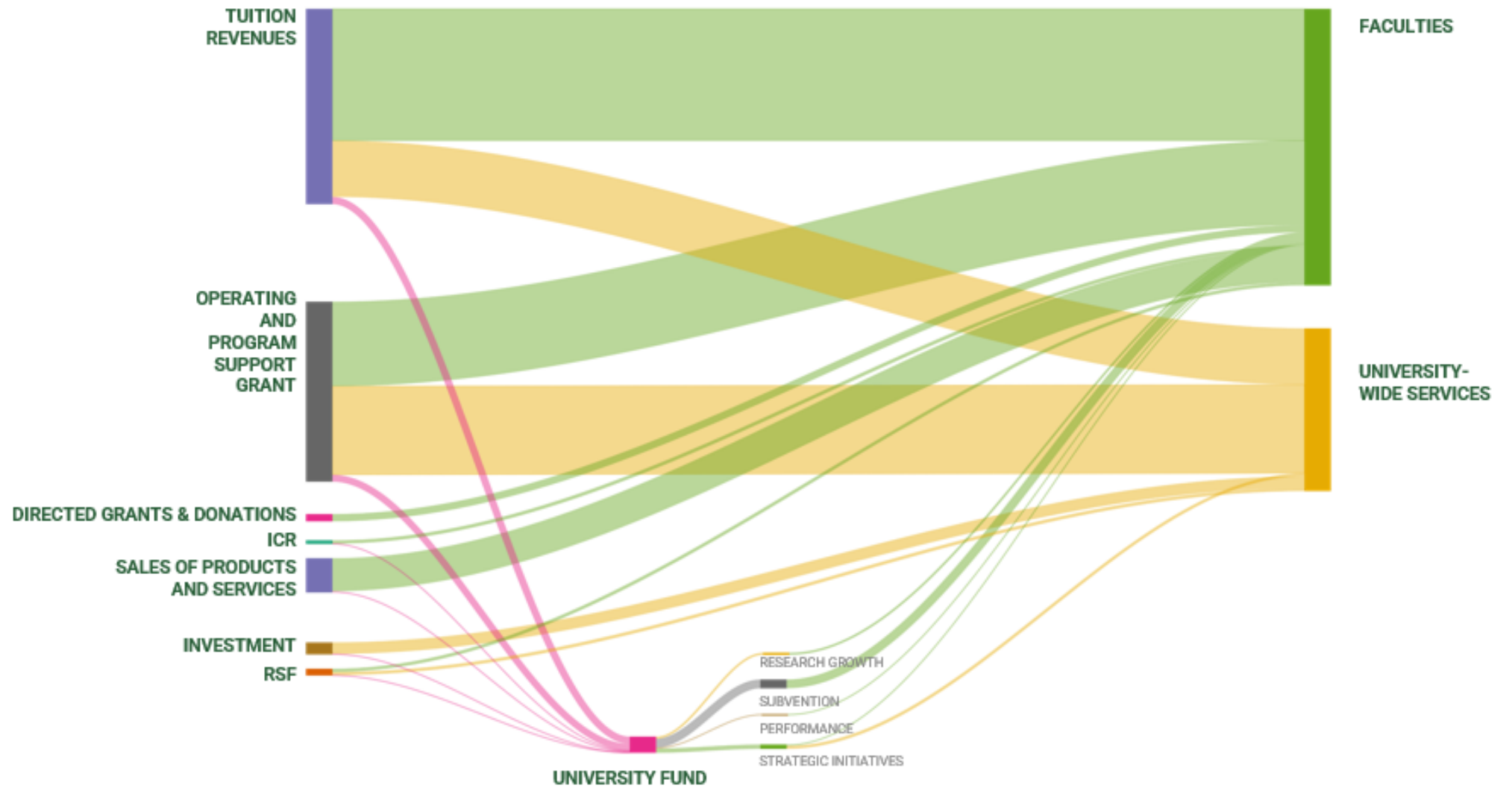
4. The budget process has been updated to support Budget Model 2.0.

This section describes the simplified budget process that supports Budget Model 2.0. The budget process is a set of actions and activities that enables Resource Planning to run the budget model for the upcoming fiscal year.

Separate but a key enabler of Budget Model 2.0 is the updated and simplified budget process. The budget process involves a multitude of decisions made at all levels of the institution. By integrating a robust strategic planning process, five-year functional plans for university-wide service units, budget prioritization and centralized control of strategic funds, the budget process facilitates budget modelling and, once funds are allocated, allows the university to achieve its institutional aspirations.

The bulk of the budget process is run by Resource Planning between August and March for the upcoming fiscal year. Senior Finance Partners and Finance Partners support the functional and budget planning processes with their client units. There is a range of activities that constitute the budget process:

- Resource Planning confirms any changes to the Budget Model based on feedback from the previous cycle.
- University-wide services develop Functional Plans (combining budget plans and strategic initiative requests) to be reviewed by a Functional Plan Review Committee and submitted to Resource Planning.
- Faculties submit enrolment plans to the Registrar's Office.
- Resource Planning collates data from Tableau and the Registrar's Office.
- Academic units submit budget plans and strategic initiative requests for initial approval by the Provost and VP USF.
- Resource Planning completes initial allocation modelling of tuition and OPS grant funds.
- Strategic Initiative Fund (SIF) Committee decides on allocation of the SIF.
- Provost decides on the allocation of the Strategic Subvention Fund.
- The Strategic Research Initiatives Fund (RIF) committee decides on allocation of the RIF to initiatives commencing early in the fiscal year.
- Resource Planning updates budget allocations and submits allocations to the Provost for approval.
- Resource Planning receives the final details of the OPS Grant.
- Resource Planning shared budget letters with facilities and units.
- Faculties and Units refine budget plans based on the updated budget letter.

5. The Budget Model 2.0 will be iterated in the future to ensure it is fit for purpose for the University of Alberta.

This section describes the next steps for Budget Model 2.0, including implementation of the model as described in this document in FY 2025 and plans to iterate the model for FY 2026 and beyond.

5.1 The University of Alberta has committed to further refinements to the budget model.

As with any large and impactful change in a university, future refinements will be necessary to maintain the accuracy, fairness, and impact of Budget Model 2.0. Following feedback from faculty and College leadership on the scenario modelling completed by Resource Planning (described in section 3.5), the university committed to targeted refinements to the model over the course of FY 2025.

All future refinements to Budget Model 2.0 will be phased and clearly articulated in advance. At the time of writing, the university has committed to the following activities:
- In FY 2025, Budget Model 2.0 will be implemented as described in this document.
- During FY 2025, Faculty Cost Clusters (FCC) and Space Allocation mechanisms will be refined in consultation with the community.
- Starting in FY 2025, relevant policies and procedures will be updated to align with Budget Model 2.0
- Between FY 2025 and FY 2027, all university-wide services will develop functional plans.
- In FY 2026, changes to the FCC and space allocation mechanisms will be implemented.
- During FY 2029, Budget Model 2.0 will be reviewed in full and updated for implementation in FY 2030.

5.2 Transition to the allocation determined by Budget Model 2.0 will take place over a 5-year period.

In the initial five years, the model will employ a 5-year straight-line transition, allocating one-fifth of the budget change annually. This gradual approach aims to mitigate the impact of budget model implementation and allows ample time for units to adapt. In the transition period, there is $10.3M left over to inject back into the faculties and units, on the approval by the Provost and VP USF.

As the model is set to be implemented for the upcoming budget cycle (FY 2025), the university remains committed to the approved principles and recommendations. The approach taken balances stability with accuracy. For the following fiscal year, the budget model will run with actuals, adhering to all previously outlined principles and recommendations. Sequential changes will be made before a full budget model review, scheduled 3 years from the model's launch in FY 2025.

5.3 Working groups will be established to refine the model during FY 2025.

In response to discussions with Faculty and College leaders related to the scenario modelling completed by Resource Planning (more information in section 3.5), the university has established two working groups of Deans to refine the Faculty Cost Clusters (FCC) and institutional space cost elements of the budget model, respectively.

The FCC Working Group has been established to better align FCCs with a mature version of the activity-based model. The purpose of the FCC working group is to:
- Advise Resource Planning on relevant data sources to inform each faculty's FCC.
- Develop a plan to collect effective benchmark figures on cost of programming to inform FCCs in future budget cycles.
- Develop an approach for periodic review of FCCs.
- Advise the Provost and VP USF on changes to the FCCs for the FY 2026 and future years.

A Space Cost Working Group has been established to develop the space cost mechanism through the Space Cost working group to start integrating space allocation into the budget model for faculties and stand-alone colleges. The purpose of the Space Cost Working Group is to:
- Communicate and socialize the space cost model.
- Confirm broad categories of spaces and units in scope of the cost.
- Identify critical enablers of the space cost, such as visualized floor plans or data uplift.
- Develop a plan and/or scenarios to implement the space cost.
- Explore future opportunities to refine the space cost model such as benchmarks, carbon tax, and centrally booked space.
- Advise the Provost, VP USF , and VP F&O on recommended mechanisms for costing space.

5.4 Updates to policies and procedures will be delivered over FY 2025.

Alongside the implementation and iteration of the budget, Resource Planning will identify and update university policies and processes impacted by the budget model in FY 2025.

This includes the development of a separate carry-forward policy for academic units and functional plans for administrative units. Beyond FY 2025, Resource Planning will review created policy and procedure documents as needed when changes are made to the budget model.

5.5 University-wide services will develop 5-year functional plans.

As recommended by the Expert Groups, university-wide service units will each develop a Functional Plan that defines service delivery, priorities, and future budgetary needs over the coming five years. These plans will be used to inform annual budget allocations to university-wide services and drive accountability for quality service delivery. The implementation of functional plans will be carried out incrementally, starting with functions in the VP USF portfolio before FY 2025, and extending to all university-wide services.

Appendix A | Expert group Design Recommendations

Budget owners and subject matter experts across all faculties and university service units were engaged through five expert working groups, to provide recommendations on the new budget model design. Across 30 meetings between January and March 2023, expert working group members expressed support for:

- Budget based on activity (teaching, research, service) rather than historic costs with a limited reward funding pool for targeted priorities;
- Provincial grant allocation that recognizes differences in costs of delivery and research intensity across faculties;
- Tuition sharing between program owners, teaching units, and university services;
- Stable funding for institutional strategic initiatives and supporting research growth;
- A space charging approach and incentives;
- Budget allocations based on multiple years of teaching and research activity to encourage future growth and smooth changes; and
- Multi-year functional plans for university services focussed on service effectiveness and cost of delivery.

A full version of recommendations provided by expert working groups is provided here. These recommendations have been used to develop the budget model described in the following sections of this document.

Tuition Revenue sharing

Recommendation 1: Share international and domestic for-credit tuition (60% teaching unit, 10% program faculty, 30% university services)

Domestic and international for-credit tuition revenues should be shared in the following manner: 60 percent to the course teaching unit, 10 percent to the program faculty and 30 percent to university services.

Recommendation 2: Share non-credit tuition revenue (85% unit offering the program, 15% university services)

Non-credit tuition revenues should be shared between the course teaching unit, program faculty and university services at rates of 85 percent and 15 percent, respectively.

Recommendation 3: Do not differentiate tuition share for online programs

Tuition revenue allocation should follow the rules outlined above, determined based on whether the course is for-credit or non-credit and not differ whether the program is delivered online, blended, or on-campus.

Recommendation 4: Review tuition-sharing arrangements in the future

The tuition revenue allocation formula should be reviewed in three years to understand and correct for any unintended consequences of the chosen tuition revenue allocation approach.
University services and functional efficiency

Recommendation 5: Introduce functional plans for university services

University services should be funded through a combination of a share of tuition (as per Recommendations 1 and 2) and the provincial government grant. Units should prepare a multi-year functional plan which defines service delivery, priorities, and future budgetary needs over the coming five years. These plans should be used to guide annual budget allocations to university services and hold unit leaders accountable for their budget and service delivery.

Recommendation 6: Adopt matrix budgeting for university services

To control costs and incentivize efficiency, the university should implement a matrix budgeting system which provides visibility to service leaders of associated spending across the entire university.

Recommendation 7: Implement a space allocation approach

To control space usage, a space allocation (expressed as net assignable square meters) should be determined for faculties and university services. Faculties and university service units should be charged for space usage that exceeds the allocation. Incentives should also be introduced for those faculties and units that occupy less space than the allocated amount.

Recommendation 8: Establish a University Fund

Create one single consolidated University Fund to support strategic initiatives, research growth initiatives, funding to reward performance, and supplementary funding for selected units. The level of funding for strategic initiatives (one component of the broader fund) should be set at 1 percent of general operating revenues.

Recommendation 9: Take funding for the University Fund off the top of general operating revenues

Funds should be taken off the top of general operating revenues and surplus investment revenues (over and above the threshold for investment reserves), which are combined to meet the target percentage for each of the sub-funds, before allocating the grant to faculties and university services.

Recommendation 10: Simplify the approach to allocating the provincial grant for teaching

Simplify the approach to allocating the provincial grant to support teaching activity by abandoning the 'Basic Revenue Unit' (BRU) and adopting a simplified measure to recognize the differential cost of teaching across faculties. Allocate the grant for teaching activity across teaching unit and program faculty, adopting the same sharing approach as domestic and international for-credit tuition revenues.

Research support and growth

Recommendation 11: Maintain allocation approach for RSF

Federal Research Support Funds (RSF) should be allocated in the following way: 50 percent to the faculties using research metrics and 50 percent to university services. The Design Group should review and revise the weightings applied to research metrics during the model development phase. The faculty's allocation should be itemized on the budget letter to clarify how much has been directed to the faculty.

Recommendation 12: Maintain allocation approach for indirect costs of research (ICR), but review policy outside of the budget model

The distribution of ICR revenues is determined by the existing UAPPOL ICR Policy. This policy specifies that 100 percent of ICR revenues are allocated to the faculty collecting the ICR. The expert group recommends that the UAPPOL ICR policy be reviewed outside of the budget model development process to consider changes to rates, opportunities to apply waivers and controls and potential changes to the allocation approach.

Recommendation 13: Simplify the approach to allocating the provincial grant for research

Simplify the approach to allocating the provincial grant to support research activity by focusing on research revenues (Tri-council and non-Tri-Council) and evaluating the use of weightings. Communicate the allocation in advance as 'cents per dollar of research revenues earned' to improve transparency.

Recommendation 14: Initially, allocate 0.5% of operating revenues for research growth initiatives

Introduce a dedicated funding stream within the University Fund (Recommendation 8) for research growth initiatives originally at the level of 0.5% of general operating revenues, with the opportunity to grow to 1.0% in the future.

Multi-year mechanisms

Recommendation 15: Introduce an activity-smoothing mechanism

To avoid large year-to-year changes in faculty revenues as a result of sharp movements in activity, implement a smoothing mechanism for all activity-based budget allocations. Use a 5-year horizon, with 2 years of historical activity data, the current year activity data, and 2 years of projected activity data.

Recommendation 16: Introduce a performance funding pool for faculties with collaboratively-determined performance metrics.

Introduce a dedicated stream of funding within the broader University Fund to reward faculties for performance on the basis of collaboratively-determined performance metrics. Allocate funding annually through the budgeting process, on the basis of performance in the prior year.

Appendix B | Detail on allocation of revenues in Budget Model 2.0

This section provides greater detail on Budget Model 2.0, **as it will be implemented in FY 2025**. Planned iterations to the model will result in changes in FY 2026 and beyond.

Revenue allocation

The budget model allocates revenues on the basis of activity-based metrics. In many cases, data for the relevant metrics (i.e., course and program enrolments; research grants and expenditures) is not available until after the start of the fiscal year and in some cases not until completion of the fiscal year. This section explains in detail how revenue will be allocated based on this data in FY 2025.

1. Tuition Allocation

When determining a faculty's tuition allocation for the upcoming fiscal year a combination of historical actuals, and future projections will be used. This will require a combination of enrolment projections, tuition fee projections and adjustments to reflect an understanding of the difference between enrolment projections and actuals to reduce the risk.

Weightings may be applied to each of the years' data, for example, by weighting future projections by less than historical actuals.

Allocation of tuition revenue will be allocated as such:

1.1. Standard domestic for-credit tuition will be shared:
- 60% to the unit offering the course (the 'teaching unit');
- 10% to the faculty that owns the program that the student is enrolled in (the 'program faculty'); and
- 30% to cover university-wide services costs.

1.2. For domestic for-credit tuition, approximately 3% (2.76% in 2022-23) of tuition is dedicated to student scholarships. The remaining domestic for-credit tuition will be allocated in the same manner as outlined in section 1.1.

1.3. For international for-credit tuition, 7.55% of tuition is dedicated to student scholarships. The remaining international for-credit tuition will be allocated in the same manner as for-credit domestic tuition (outlined in 1.1).

1.4. Tuition for non-credit courses and programs (whether paid by a domestic or international student) will be shared:
- 85% to the unit offering the course (the 'teaching unit'); and
- 15% to cover university-wide services costs.

2. Provincial Grant Allocation

When determining a faculty's share of the provincial grant based on activity metrics (e.g., enrolments and research activity), a combination of historical actuals, and future projections will be used. Enrolment data will be smoothed across 5 years, using a blend of 2 years historic actuals, current year projections, and 2 years future projections.

This means that the proportion of the grant received by each faculty in the current fiscal year will depend on faculty activities, generally, two years prior to the current fiscal year, in the current fiscal year, and projections over the coming two years. This means that faculties anticipating growth in their activities, such as growing enrolments, will be provided funding in advance of these enrolments.

Revenue from the Provincial Government Grant will be allocated as such:

2.1.   Base provincial grant revenues (less the amount required to cover the remaining university-wide services costs after tuition is shared) will be allocated to faculties for teaching and research.

2.2.   60% of the net provincial grant will be allocated to fund the teaching activities of faculties.
- The allocation will be based on weighted domestic enrolments in undergraduate and course-based graduate programs.
- The weighting applied will reflect the differential costs of teaching across faculties. For FY 2025, the weightings will reflect cost of teaching differentials calculated using information provided as part of the iterative Budget Model 2.0 design process. In future years, these weightings will be adjusted based on recommendations from the FCC working group.
- Enrolments will be measured based on headcount.
- Enrolment data will be smoothed across 5 years, using a blend of 2 years historic actuals, current year projections, and 2 years future projections. Recent prior year actuals will be weighted more heavily than future year projections to reflect certainty of estimates as such:
  - 20% for the actual figure from 2 years prior to the current year
  - 60% the actual figure from 1 year prior to the current year
  - 10% for figure from the current year
  - 5% for future projection for the upcoming year
  - 5% for future projections for 2 years from the current year.

2.3.   40% of the net provincial grant will be allocated on the basis of research metrics to fund the research-support activities of faculties.
- The allocation will be based on four weighted research-based metrics:
  - Restricted Tri-Council research dollars received (5/30 percentage points)
  - Restricted non-Tri-Council research dollars received (5/30 percentage points)
  - Number of successful external grant applications, both Tri-Council and non-Tri-Council (10/30 percentage points)
  - Total dollars spent on graduate students or post-doctoral fellows (PDF). These include scholarships that flow through the university payroll system, such as Tri-Council scholarships (10/30 percentage points)

2.4.   Envelope and directed provincial funding will continue to be allocated to the designated faculty/unit as at present (e.g., TEE grant funding, HWAP funding).

3.   *Research Support Fund and ICR allocation*

When determining a faculty's share of RSF funds and ICR funds, the allocation will be based on 5 years of research activity data - two years prior to the current fiscal year, in the current fiscal year, and projections over the coming two years.

3.1.   Half of federal Research Support Funds (RSF) will be allocated to faculties using the research metrics and weightings used to allocate the provincial grant for research (outlined in 2.3), and half will be allocated to university-wide services to cover indirect costs of research incurred in these units.

3.2.   Each faculty's share of the RSF funds will be clearly itemized in budget allocations.

3.3.   All other indirect costs of research (ICR) go to the faculty/unit generating the ICR.

Allocation to strategic funds, spaces, university-wide services and Colleges

1.   *University-wide services costs*

1.1.   Remaining university-wide services budget requirements (after shares of tuition, RSF, and investment income are deducted) will be subtracted from the provincial grant before the remaining grant revenues are distributed to faculties.

1.2. To ensure transparency, and control costs of university-wide services, units must prepare a multi-year functional plan which defines service delivery, priorities, and future budgetary needs over the coming five years. These plans guide annual budget allocations to university-wide services and are used to hold unit leaders accountable both for their budget and service delivery. Functional Plans are reviewed by a committee of service leaders and service clients, including academic leaders.

2. *Colleges*

2.1. Colleges will be treated as a university services unit, funded out of the Provost's budget.

3. *Space allocation*

3.1. In FY 2025, an indicative space cost contribution figure will be calculated for each faculty and unit, but no financial burden will be imposed and no additional revenue will be provided to cover the cost of space.

3.2. Future work will be undertaken by a working group to agree on the cost allocation mechanism, and a method to implement in a fair, accurate and transparent way.

3.3. In FY 2026, it is intended that the recommendations from the working group be implemented, however, this is subject to final recommendations.

4. *University Fund*

4.1. A University Fund will be established to be allocated for strategic purposes consistent with the university's mission.

4.2. The first call on funds will be 0.75% for Strategic Subvention, to support faculties whose resource allocations under the new budget model cannot fully support the costs of providing programs that are core priorities of the institution.
- The level of funding dedicated to this purpose will be determined annually, based on need as assessed by the Provost in consultation with faculties and colleges before the start of the fiscal year.

4.3. The University Fund will have three sub-funds:
- A Strategic Initiatives Fund (SIF) to the value of 1% of general operating revenues which provides support to university services, colleges, or faculties for strategic initiatives, which will normally be identified in the university's strategic plan. Note that the SIF allocation will be 0% in FY 2025.

- A Strategic Research Initiatives Fund (RIF) to the value of 0.5% of general operating revenues which provides support to university services, colleges or faculties for projects that enhance research performance aligned with the strategic research and innovation plan.
- A Performance Fund to the value of 0.2% of general operating revenues which is awarded to faculties on a formulaic basis based on performance against an agreed set of performance metrics that are measured in the prior fiscal year, therefore the first funding will be distributed in FY 2026 based on metrics from FY 2025.

4.4. Committees for the SIF and RIF will be formed to make funding allocations.

4.5. The resources devoted to the University Fund will be taken off the top of the provincial grant before the remaining grant revenue is allocated to the faculties. Where investment income and revenue from the Land Trust is available for allocation, it will contribute to the University Fund, lowering the amount required from the provincial grant.

4.6. A complete report on the activities of the University Fund and the faculties, university services and projects supported will be made to the Deans' Council each year.

4.7. Where carry forward is possible, any unused funds will remain in the university fund to remain available for related initiatives.

4.8. The level of funding allocated to 'supplement' faculties, and to each of the sub-funds, will be reviewed at least once every five years.

Appendix C Scope of funding for University-wide services

In order to support the university's current operating model, Budget Model 2.0 must appropriately fund university-wide services. This section describes the scope and services of university-wide services, and the functional planning process that supports funding decisions in Budget Model 2.0.

What are University-wide Services at the university?

University-wide services is the collective term for the units in the President's and Vice Presidents' portfolios that deliver administrative and academic services to the whole of the university. The university-wide services portfolios at the university are:

Portfolio	Units
Office of the President and Vice Chancellor	● University Governance
General Counsel	● Office of General Counsel ● Information & Privacy Office ● Institutional Policy Unit ● University Records Office
Provost and Vice President Academic	● Faculty Relations ● Helping Individuals at Risk ● Office of Safe Disclosure and Human Rights ● Office of the Student Ombuds ● Equity, Diversity and Inclusion (EDI) ● Office of the Registrar ● Office of the Dean of Students ● Faculty of Graduate Studies and Research ● University of Alberta International ● Library and Museums ● Indigenous Programming and Research ● Centre for Teaching and Learning ● Programs ● Learning Initiatives ● Online and Continuing Education ● Enrolment Systems and Service Innovation
VP, University Services and Finance	● Finance, Planning and Procurement ● Human Resources, Health, Safety and Environment ● Information Services and Technology ● Shared Services ● Performance, Analytics and Institutional Research ● Internal Audit and Enterprise Risk Management

	● University Initiatives Office
VP, Research and Innovation	● Strategic Research Initiatives and Performance ● Research Integrity Support ● Innovation, Knowledge Mobilization & Partnerships ● Research Development and Services ● Research Partners Network
VP, External Relations	● Alumni Relations ● Development ● Enterprise ● Government and Community Relations ● Marketing ● Strategic Communications
VP, Facilities and Operations	● Asset Management and Operations ● Campus Services ● Integrated Planning, Development, and Partnerships ● Support and Recreation Services ● Utilities

What are functional plans?

The University-wide Services & Functional Efficiency Budget Model 2.0 Expert Group produced the following recommendation related to university-wide services and functional plans:

Recommendation 5: Introduce functional plans for university services

University services should be funded through a combination of a share of tuition (as per Recommendations 1 and 2) and the provincial government grant. Units should prepare a multi-year functional plan which defines service delivery, priorities, and future budgetary needs over the coming five years. These plans should be used to guide annual budget allocations to university services and hold unit leaders accountable for their budget and service delivery.

The recommendation calls on university-wide service leaders to articulate plans and budgetary needs for the next 5 years. Functional Plans enable service leaders to articulate and be accountable for the value of funding that flows to university-wide services through Budget Model 2.0.

The Functional Planning process includes a self review of the current state completed by the AVP or equivalent service leader, drafting and iteration of the functional plan, review by the relevant VP, and approval by a committee including client representatives from the

academy. This in-depth process is delivered every 5 years, with annual reviews of the plan by the AVP and VP that align with the budget cycle. This is to ensure the university community can trust that a fair and effective amount of funds will flow to university-wide services.

General Faculties Council Standing Committee Report

GFC Academic Planning Committee

1. Since last reporting to GFC, the GFC Academic Planning Committee met on September 6, 2023

2. Items Recommended to the General Faculties Council for approval
   - Strategic Plan for Research and Innovation (SPRI)

3. Items Recommended to the Board of Governors for approval
   - Bachelor of Science in Mechatronics and Robotics Engineering Cooperative Program

4. Items Discussed
   - Quality Assurance (QA) Templates & Orientation
   - Budget Model 2.0 Update

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

Submitted by:
Verna Yiu, Chair
GFC Academic Planning Committee

Item No. 12

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

GFC Programs Committee (PC)

1. This report includes information about PC's June 1, 2023 e-vote, and June 22, 2023 meeting. The September 14, 2023 PC meeting will be reported in October.

2. <u>Items Approved with Delegated Authority from GFC</u>
   June 1, 2023 (e-vote)
   – Proposal for Exclusion of Augustana Faculty courses From the Exploration Credit Policy

   June 22, 2023
   – Course, Minor Program, and Minor Regulation Changes
     o Augustana
     o Public Health
     o Saint Jean
     o Science
   – Proposed Non-Credit Certificate in Computer Game Design
   – Proposed Non-Credit Executive Certificate in Municipal Leadership
   – Proposed Revisions to Admission Regulations for Rural Applicants for the Doctor of Medicine Program

3. <u>Items Recommended to the Board of Governors</u>
   June 22, 2023
   – Proposed New Bachelor of Science in Mechatronics and Robotics Engineering Cooperative Program

4. <u>Items Discussed</u>
   June 22, 2023
   – Draft Micro-credential Action Framework & Development Guide
   – External Programs for Review and Programs in Progress on Campus: Standing Item

Terms of reference and records of meetings for this committee are available here:
https://www.ualberta.ca/governance/member-zone/gfc-standing-committees/index.html#GFC_PC

Submitted by:
Janice Causgrove Dunn, Chair
GFC Programs Committee

[Distributed Electronically]

GFC Nominating Committee Report to GFC

Upon receipt and consideration of a GFC Nominating Committee (NC) Report, a GFC member has the opportunity to submit an additional nomination. For more information, please see the NC Procedures.

The current nomination period ends at 12:00 pm (noon) on September 7, 2023

If no additional nominations are received by the end of the current nomination period, the GFC Nominating Committee Report to GFC is considered approved and recommended candidates are declared elected.

Please refer to the following list of **Membership Recommendations** as determined by the NC at their meeting of August 30, 2023**:**

GFC Standing Committees				
Name	**Faculty/Office**	**Membership Category**	**Term Start**	**Term End**
Council on Student Affairs (COSA)				
Adrian Lam	Augustana	GFC Undergraduate Student Member	Immediately	April 30, 2024
Hussain Alhussainy	Arts	GFC Undergraduate Student Member	Immediately	April 30, 2024
Committee on the Learning Environment (CLE)				
Allison Sivak	Libraries	GFC Librarian Member	Immediately	June 30, 2026
Executive Committee (EXEC)				
Danielle Gardiner Milln	Education	GFC Graduate Student Member	Immediately	April 30, 2024
Kyle Foster	Science	GFC Appointed Elected Staff Member	Immediately	June 30, 2024
Julianne Gibbs	Science	GFC Academic Staff (A1.1/A1.6) Member	July 1, 2023	June 30, 2026
Executive Subcommittee on Governance and Procedural Oversight (GPO)				
Lise Gotell	Arts	GFC Academic Staff (A1.1/A1.6) Member	Immediately	June 30, 2026
Nominating Committee (NC)				
Esther Kim	Rehabilitation Medicine	GFC Academic Staff Member	Immediately	June 30, 2026

Programs Committee (PC)				
Odile Cisneros	Arts	GFC Academic Staff (A1.1/A1.6) Member	Immediately	June 30, 2026
John Ussher	Pharmacy and Pharm Sci	GFC Academic Staff (A1.1/A1.6) Member	Immediately	June 30, 2026
Student Conduct Policy Committee (PC)				
Corinne Langinier	Arts	GFC Academic Staff (A1.1/A1.6)Member	Immediately	June 30, 2026
University Teaching Awards Committee (UTAC)				
Megan Tipler	Education	At-Large Graduate Student	Immediately	April 30, 2024
Joanne Rodger	Education	At-Large Academic Staff	Immediately	June 30, 2026
Department Chair Selection and Review Faculty Panelists				
Chetan Dave	Arts	At-Large Academic Staff (A1.1/A1.6)	Immediately	June 30, 2026

Judiciary Committees				
Name	**Faculty/Office**	**Role**	**Term Start**	**Term End**
University Appeal Board (UAB)/Student Misconduct Appeal Panel				
Hanna Moore	Nursing	Graduate Student Panelist	immediately	April 30, 2025
Aaryan Shetty	Science	Undergraduate Student Panelist	immediately	April 30, 2025
GFC Academic Appeals Committee (AAC)				
Seun Akinfolarin	Medicine and Dentistry	Graduate Student Panelist	immediately	April 30, 2025
Suhasini Dube	Science	Undergraduate Student Panelist	immediately	April 30, 2025

Additional Information:

For terms of references and current membership lists for GFC and GFC standing committees, please visit University Governance Member Zone. For judiciary governance details, please visit: University-level Appeal Bodies.

Contact for GFC Nominations and Elections
Heather Richholt, Associate Secretary to General Faculties Council
Email: heather.richholt@ualberta.ca

The Board of Governors held a special meeting on May 29, 2023 dedicated to the annual financial statements. At the meeting:
- on the recommendation of the Audit and Risk Committee, the Board approved the Audited Financial Statements for the year ended March 31, 2023; and
- on the recommendation of the Finance and Property Committee and General Faculties Council Academic Planning Committee, the Board approved an amended 2023-24 Consolidated Budget, with changes to reflect one-time approval to access $39.362M in operating reserves ("carryforward funds").

I am pleased to report on the following highlights of the Board of Governors' Open Session meeting held on June 16, 2023:

REPORT OF THE PRESIDENT

In addition to his written report, President Flanagan provided verbal updates on spring Convocation ceremonies, noting record numbers with 74% of the more than 7300 graduating students attending a ceremony, and expressing his appreciation to the Chancellor, the Office of the Senate, and the organizers, on the events and the impressive convocation speakers and honorary degree recipients, including Shirley McLellan and Fred Penner.

DISCUSSION ITEMS

The Board discussed the following items:
- an Indigenous learning moment, provided by Florence Glanfield, Vice-Provost (Indigenous Programming & Research), focused on the writings of Cree scholar Willie Ermine on the need for an ethical work space where decisions and actions align with shared values, worldviews affirm each other's existence, and all employees can include their unique perspectives.
- the *Culture of Care - University of Alberta's Safety Action Plan*, with Vice-President (University Services and Finance) Todd Gilchrist and Tanya Wick, Associate Vice-President (Human Resources, Health, Safety and Environment). Discussion included: the genesis of the plan; that it encompasses physical, psychological, and cultural components of safety; current and planned initiatives over three years, including a focus on leadership's commitment to safety in the first year; whether trends in Workers' Compensation Board claims can be identified; whether the plan will impact student and staff accommodations; and a request from the Board to receive both annual safety moments and regular updates on the plan's progress;
- an update on the *Asset Management Master Plan*, with Andrew Sharman, Vice-President (Facilities & Operations), including the goal of a single master plan for asset utilization, space optimization, and investment prioritization; progress, learnings, and next steps; plans for internal and external engagement on the space optimization strategy, as well as comparisons with other post-secondary institutions; and how the plan aligns with the work of the University of Alberta Properties Trust (UAPT), Budget Model 2.0, and the Strategic Plan for Research and Innovation (SPRI);
- the Board Investment Committee Annual Report with Derek Brodersen, Chair of the Board Investment Committee, including an overview of the performance of the university's endowed and non-endowed funds over the past year; and the effects of inflation and mitigation strategies; and
- the Strategic Plan for Research and Innovation (SPRI), with Vice-President (Research and Innovation), Aminah Robinson Fayek, including consultation, alignment with the USP, and next steps including the development of performance indicators and core research facilities; the importance of students and support staff to research on campus; and the importance of providing an ecosystem for research excellence and commercialization that respects researchers' academic freedom.

BOARD OF GOVERNORS' MOTION SUMMARY

On the recommendation of General Faculties Council, the Board of Governors approved the *University of Alberta Strategic Plan 2023-2033* (USP).

On the recommendation of the Finance and Property Committee, the Board of Governors:
- approved a Land Review Protocol, to identify, evaluate, and prioritize surplus university lands for potential transfer to the University of Alberta Properties Trust for the purposes of generating a stream of long-term revenue for the institution;
- executed a Borrowing Resolution requesting approval of financing the fifth and final phase of the *Envision* energy management program in an amount not to exceed eight million dollars ($8,000,000.00) in Canadian funds for a term not to exceed fifteen (15) years at an interest rate of not more than seven percent (7%); and make an application to the Minister of Advanced Education for the required approval; and
- approved allocations from the Strategic Initiatives Fund to an internally restricted Universities Academic Pension Plan (UAPP) risk management reserve and for capital renewal initiatives, a research information management system, the Innovation Fund and on-campus transportation alternatives.

On the recommendation of the Finance and Property and Learning, Research and Student Experience Committees, the Board of Governors approved the 2023-24 and 2024-25 Investment Management Agreement targets, thresholds, and weightings.

On the recommendation of the Reputation and Public Affairs and Audit and Risk Committees, the Board of Governors approved and adopted the draft 2022-23 University of Alberta Annual Report.

On the recommendation of the Learning, Research and Student Experience Committee, the Board of Governors delegated to General Faculties Council approval of terminations for programs suspended prior to 2019.

On the recommendation of the Learning, Research and Student Experience Committee and General Faculties Council, the Board of Governors approved:
- the Maîtrise en sciences in the Faculté Saint-Jean; and
- the Doctorat Etudes Transdisciplinaires in the Faculté Saint-Jean

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

Prepared for: Dilini Vethanayagam
GFC Representative on the Board of Governors

By: Erin Plume
Associate Board Secretary

Please note: official minutes from the open session of the June 16, 2023 Board of Governors' meeting will be posted on the [University Governance website](#) once approved by the Board at its October 13, 2023 meeting.

ITEM NO. 15A

Decision ☐ Discussion ☒ Information ☐

ITEM OBJECTIVE: For purposes of discussion of the draft policy suite.

DATE	September 18, 2023
TO	General Faculties Council
RESPONSIBLE PORTFOLIO	Vice-Provost and Dean of Students

EXECUTIVE SUMMARY:

Background
In February 2022, the Minister of Advanced Education, Demetrios Nicolaides, and then Associate Minister of Status of Women, Whitney Issek, issued a joint letter to the governing bodies of all public post-secondary institutions in Alberta, including the Board of Governors of the University of Alberta (hereafter, the "Ministers' Letter").

The Ministers' Letter required that all public post-secondary institutions in Alberta update their sexual violence policies and procedures with specific attention to providing procedural fairness and implementing trauma-informed practices for both complainants and respondents to a complaint. The Ministers' Letter provided a "Checklist" of required and prohibited elements which our policies and procedures must satisfy. There was a timeline to complete these procedures that required immediate action. While it was undoubtedly time to review the *Code* as a whole, given that it had not been substantially revised since 1999, it was decided that the deadlines to address the non-academic sections meant they needed to be done in two phases.

Phase 1 removed the non-academic sections from the *Code* which were then incorporated into the Student Conduct Policy, approved on November 22, 2022. Phase 2 focussed on the academic sections of the *Code*. Chris Hackett, Acting Director of Student Conduct and Accountability, organised two working groups to draft the new academic integrity policy. The first working group identified the key issues and laid out principles that needed to be addressed in the new policy. After consultation on those principles, the second working group oversaw the drafting of the policy suite for which we are now seeking feedback.

Analysis / Discussion

The key issues the policy suite is intended to address are:

- Protect the integrity of University of Alberta grades, degrees, certifications, research and other scholarly activities involving students.

- Shift from a purely punitive orientation to one that also reflects the educational mission of the University;

GOVERNANCE OUTLINE

- Mitigate unintended consequences to students addressed by the policy;

- Bring academic conduct appeal processes in line with the principles adopted in the Student Misconduct Appeal Procedure

- Adopt best and promising practices in preventing and responding to academic misconduct;

- Increase timeliness and transparency in academic integrity processes;

- Address new and evolving forms of academic misconduct, such as contract cheating and inappropriate use of homework/tutor websites; and

- Provide streamlined processes for mass cheating events.

Risk Discussion / Mitigation of the Risk

A poorly drafted policy runs the risk of damaging the reputation the University of Alberta and creating unnecessary burdens for faculty, staff and students. The current policy has been drafted after reviewing current literature on addressing academic integrity in post-secondary institutions, exploration of practices at U15 peer institutions, and leading institutions in the United States, and careful analysis of the strengths and weaknesses of current practices. The consultation process will provide critical feedback on the impact of the proposed principles and processes.

Where applicable, list the legislation that is being relied upon
Province of Alberta Post-Secondary Learning Act

Next Steps

After completing the consultation process we will submit a final draft to Governance for approval.

Supporting Materials:

Document 1: Draft of the proposed *Student Academic Integrity Policy*
Document 2: Draft of the proposed *Student Academic Integrity Procedure*
Document 3: Draft of the proposed *Student Academic Integrity Appeal Process*.

*See Schedule A for additional items to include if needed.

SCHEDULE A:

Engagement and Routing

Consultation and Stakeholder Participation / Approval Route (parties who have seen the proposal and in what capacity) <*Governance Resources Section Student Participation Protocol*>

*Those who are actively **participating**:* •
*Those who have been **consulted**:* •
*Those who have been **informed**:* •
Approval Route:

Supplementary Notes / Context:

Original Approval Date:

Most Recent Approval:

Most Recent Editorial Date:

Document 1:

Student Academic Integrity Policy

Office of Accountability:	Provost and Vice-President (Academic)
Office of Administrative Responsibility:	Vice Provost and Dean of Students
Approver:	General Faculties Council Board of Governors
Scope:	Compliance with this university policy extends to all University of Alberta **students** as defined in this policy.

Overview

The value and integrity of University of Alberta **academic credentials**, as well as research and other scholarly and professional activities, rests on academic integrity (that is, honesty, trust, fairness, respect, responsibility and courage) in every aspect of academic and scholarly activities. The university is defined by tradition as a community of people dedicated to the advancement of knowledge, and as a place where there is freedom to teach, engage in research, create, learn, study, speak, associate, write and publish. In addition to these freedoms, the enduring value of university life, the degrees and other credentials the university confers, and the university's reputation for academic and scholarly excellence depend upon trusted teaching and research relationships and, therefore, upon the honesty and integrity of those engaged in **academic and scholarly activities**.

People with diverse interests and cultures from all over the world and from all walks of life are part of the University of Alberta community and learning environment. The university is a shared space for diverse scholarship, research, and learning communities. The university's faculty, staff, and students live, work, explore, teach, and learn alongside each other; those differences are part of the backbone of the institution that gives it strength and supports its central mission. What each individual does affects the other members of our community and everyone must be prepared to be accountable for their actions.

This policy describes academic supports that enable **students** to achieve academic success in alignment with the fundamental values of **academic integrity.** In addition, this policy provides alternatives to a disciplinary response where students take responsibility for their academic misconduct and hold themselves accountable to the community by participating in **non-disciplinary accountability options**. Where non-disciplinary accountability options are not appropriate, this policy provides a complaint process to impose disciplinary sanctions on students for their academic misconduct.

Purpose
The purpose of this policy is to:

- set out the conditions under which this policy applies;

- set out the principles that will guide the interpretation and application of this policy;

- situate the academic integrity process in relation to concurrent external and internal proceedings;

- identify on-campus academic resources for students;

- identify behaviours which are unacceptable and constitute academic misconduct;

- provide for non-disciplinary accountability options in appropriate cases;

- outline some aspects of the complaint process such as the applicable standard of proof and acceptable forms of evidence;

- authorize and set out the principles that will guide the application of sanctions for academic misconduct that has been found to have occurred;

- provide clarity on privacy, disclosure and confidentiality;

- stipulate required training for those who administer academic integrity processes;

- articulate the delegated authority under the Alberta *Post Secondary Learning Act* (PSLA) to discipline students for academic misconduct, subject to an appeal to the Board of Governors;

- provide for periodic review of, and amendments to, this policy and its related procedures; and

- provide definitions which apply to this policy and its related procedures.

Policy

1. Application
a. This policy applies to all alleged academic misconduct by a student or students by any means whatsoever (including virtual or online), that has a real and substantial link to university academic and scholarly activities and/or a material effect on the university's **academic reputation**.

b. The determination of whether any academic misconduct has a real and substantial link or material effect may be made by a **Dean** or any individual or body who has been delegated the authority to investigate or make decisions under this policy and its associated procedures.

2. Guiding Principles
This policy and its associated procedures are guided by, and will be interpreted and applied by reference to the following principles:

a. The university is responsible for taking reasonable steps to maintain academic integrity and protect the integrity and value of the University of Alberta degrees and other accreditations, its academic mission, and its reputation for excellence in scholarship and research. Wherever possible, the university should provide both general and program specific educational materials and opportunities to help students learn their individual responsibilities.

b. All members of the university community are entitled to a fair, vibrant and supportive **learning environment**. Students are expected to conduct themselves with honesty, fairness, trust, respect, responsibility and courage, aligning their behaviour with the fundamental values of academic integrity as described by the International Center for Academic Integrity.

c. The university will create a supportive space for students to be accountable, for example by undertaking skill-building and remedial activities to correct their behaviour, taking steps to align future conduct with the principles of academic integrity, and/or repairing harm resulting from their academic misconduct. Where appropriate, Deans and those involved in addressing

academic misconduct are encouraged to explore **non-disciplinary accountability options**, including remedial, restorative, transformative, or other voluntary facilitated resolution options.
d. The student life cycle at the university requires that academic misconduct be addressed fairly and in a timely way.

e. Students who are the subject of a complaint are entitled to an appropriate level of procedural fairness. Respondents under this policy have the right to:

      i. an impartial and unbiased decision-maker;

      ii. have their case addressed or decided within a reasonable time;

      iii. timely communication;

      iv. be accompanied by an **advisor** throughout their participation in any investigation, meeting, **hearing**, or other aspect of the Student Academic Misconduct or Student Academic Misconduct Appeal Procedures, and to be advised of these rights;

      v. reasonable disclosure of the allegations in the complaint;

      vi. reasonable opportunity to respond to the allegations in the complaint;

      vii. reasonable notice of the time, place, and nature of any hearing;

      viii. an opportunity to respond to or explain any evidence that does not support their accounts of events;

      ix. provide evidence and suggest witnesses or lines of inquiry;

      x. be provided with written reasons for any decision made under this policy; and

      xi. where applicable, be **reasonably accommodated** under the *Discrimination, Harassment and Duty to Accommodate Policy* to ensure equitable access to the complaint process.

3. On Campus Academic Resources for Students

The [*name of info doc* - to be developed] describes the academic supports and resources available to assist students in aligning their academic success with the fundamental values of academic integrity.

4. Concurrent proceedings

<u>External proceedings</u>

a. This policy and its associated procedures are independent of any external professional regulatory or other proceedings. Any aspect of the complaint process under this policy or its associated procedure may occur concurrently with, prior to, or following any such professional regulatory or other proceeding. In this regard,

    i. The university is responsible for determining whether a student has violated this policy and is not responsible for determining violations of professional, regulatory or other proceedings.

    ii. Where an incident is also being addressed by another body or authority, the university may, in its sole discretion, proceed with or suspend any aspect of the complaint process under this policy or its associated procedures.

<u>Internal proceedings</u>

b. The conduct underlying an alleged violation of this policy may also provide the basis for a violation of another university policy including, but not limited to, the

    i. *Student Conduct Policy* where, for example, there is an allegation of theft of resources to facilitate cheating. In such cases, the procedure set out in the *Student Misconduct Complaint Procedure* will apply.

    ii. *Practicum Intervention Policy* where, for example, there is an allegation of misrepresentation of facts in the context of a practicum. In such cases, the procedures set out in the *Practicum Intervention Policy* will apply.

    iii. *Information Technology Use and Management Policy* where, for example, there is an allegation of misuse of university IT resources involved in an academic integrity violation. In such cases, the academic integrity violation will be addressed under the *Student Academic Misconduct Procedure* and, independently, under the *IT Use and Management Policy.*

    iv. *Research and Scholarship Integrity Policy* where, for example, there is an allegation of plagiarism on a published article.

    v. In any other case, the offices of administrative responsibility for the *Academic Integrity Misconduct Procedure* and the other relevant policy or procedure shall jointly and in a timely manner determine whether it would be appropriate to apply

        ○ only one of the procedures to address the student's conduct, or
        ○ both procedures

4. Academic Misconduct

The conduct listed in Schedule A is prohibited and constitutes academic misconduct for which a complaint may be made under this policy.

The Dean has sole discretion to determine whether reports of academic misconduct will be addressed through non-disciplinary accountability options or through the complaint process. The Dean's decision is final and binding.

5. Non-disciplinary Accountability Options

a.Where non-disciplinary accountability options are determined to be appropriate, their aim is similar to the aim of sanctions set out in 7b below, but in addition, their aims in general are to:

> i. educate and develop the student's understanding of the harms caused by academic misconduct and the importance of academic integrity;
>
> ii. provide them with skill-building resources to enable them to align their behaviour with the fundamental values of academic integrity;
>
> ii. create a safer space for students to accept responsibility and be accountable for their academic misconduct and to provide redress to the community affected by the harm resulting from their academic misconduct.

6. **Complaints**

The following applies to complaints.

Assistance for Students

a. The Office of the Dean of Students, Office of the Student Ombuds, and Student Legal Services are available on-campus to provide assistance to students involved in processes associated with this policy.

Standard of Proof

b. All determinations that a violation of this policy has been established will be made on a balance of probabilities standard.

Evidence

c. The academic integrity process is not bound by the same rules of evidence as would apply in a court of law such as the *Alberta Evidence Act* or the law of evidence applicable to judicial proceedings. Decision makers under this policy and associated procedures can accept and consider any credible information that is relevant to the complaint including, for example, hearsay evidence.

Participation in Complaint Process

d. Students alleged to have engaged in academic misconduct are not obligated or required to participate in a complaint process. However, where they choose not to participate and decline to provide information, they may be prohibited from later attempting to provide that information or evidence to university decision-makers under the *Student Academic Misconduct Procedure* and the *Student Academic Misconduct Appeal Procedure*.

7. Sanctions

a. The university imposes disciplinary sanctions on students when it has been established through the complaint process that they have violated this policy.

b. The aim of sanctions in general is to:

   i. protect the value and integrity of academic credentials, as well as the university's academic mission and reputation for excellence in scholarship and research;

   ii. foster a safe, supportive and vibrant learning environment;

   iii. promote accountability to individuals and the community; and/or

   iv. rehabilitate the respondent, where possible.

c. Sanctions are meant to be proportionate based on the nature of the violation and the desire to accomplish the above aims through the least restrictive means. When considering sanction(s), a decision-maker can take into account any relevant factors.

d. Sanction descriptions and their impact are detailed in Schedule B. Available sanctions include:

- Academic integrity conditions

- Grade reduction, grade of F or NC in a course

- Refusal to consider current and/or future applications

- Reprimand

- Rescission of an admission offer

- Suspension from academic program

- Expulsion

- Suspension of a degree

- Rescission of a degree

7. Privacy and Personal Information

a. Any use and disclosure of personal information contemplated in this policy and the related procedures will be in accordance with the *Freedom of Information and Protection of Privacy Act* of Alberta.

b. Privacy and the protection of personal information are essential for creating a safe space for students to be accountable and provide redress for the harm resulting from their academic misconduct and to be able to respond to allegations. The university will protect the privacy of a respondent to a complaint; however, it is important to note that there may be limits to the university's ability to do so, when:

> i. there is a risk of harm to self or others;

> ii. as necessary to administer an investigation, hearings, sanctions or other elements of the student academic integrity process; or

> iii. reporting or action is required or authorized   by law, including but not limited to the *Freedom of Information and Protection of Privacy Act* of Alberta

c. In such cases, the use or disclosure of information will be limited to that which is reasonably necessary and only to those with a need to know. The extent to which the university can maintain the privacy of a respondent to a complaint will be determined on a case-by-case basis. The university will endeavour to inform respondents of the limits of protection of personal privacy and confidentiality.

8. Confidentiality of the Academic Misconduct Process

a. University employees will only use or disclose personal information that they learn solely as a result of administering or participating in the academic integrity process in accordance with section 7 above. Contact the Information and Privacy Office for guidance about confidentiality and privacy.

b. Parties and witnesses should not make public another individual's personal information that they learn solely through any university process such as a complaint, investigation, hearing, or non-disciplinary accountability options and should refrain from:

> i. posting another individual's personal information on social media or online,

> ii. distributing confidential university documents in whole or in part,

iii. sharing another individual's personal information with individuals outside of their immediate circle of support, and

iv. prompting or eliciting others to disclose another individual's personal information.

c. The university does not prohibit parties and witnesses from speaking about their own experiences, including, but not limited to, seeking support for rehabilitation. However, when disclosing another individual's personal information within their immediate circle of support, the party or witness is also responsible for communicating the need to keep the information confidential.

d. In any event, inappropriate disclosure of another individual's personal information may affect the integrity of a university process, breach another individual's privacy rights, and/or bring about other legal risks for the individual who breaches another individual's privacy rights.

9. Required Training

a. All individuals involved in administering, advising on or adjudicating academic integrity complaints will be required to have appropriate training as outlined in the *Academic Integrity Training Information Document* which will include training in procedural fairness and training to recognize and mitigate biases in processes and decision-making, and other relevant topics.

b. Members of the Appeal Panel will additionally be trained in the standard of review applicable on appeals.

10. Delegation

Section 31 of the *Post-Secondary Learning Act* (PSLA) gives General Faculties Council (GFC) general supervision of student affairs including authority over student discipline. The GFC may, subject to an appeal to the Board, discipline students. In addition to this authority over student discipline, the GFC may, under the PSLA, delegate its power to discipline students.

Under this authority, the GFC has adopted and approved this *Student Academic Integrity Policy* and the associated procedures and has delegated the functions in the student academic integrity conduct process to the persons identified in this policy and the *Student Academic Misconduct Procedure*.

As noted, GFC's authority to discipline students is "subject to a right of appeal to the board". To fulfil this appeal function, the Board has adopted and approved the *Student Academic Misconduct Appeal Procedure,* and has delegated the functions in the appeal processes to the persons identified in the *Student Academic Misconduct Appeal Procedure*.

11. Review and Amendments

a.This policy will be reviewed from time to time as necessary, but at a minimum every five years. Amendments to the *Student Academic Integrity Policy* and *Student Academic Misconduct Procedure* proceed as follows:

    i. The Student Conduct Policy Committee (SCPC) decides which amendments are editorial.

    ii. On delegated authority from GFC, the SCPC will approve all editorial amendments to this policy and the *Student Academic Misconduct Procedure*.

    ii. Where the SCPC deems amendments to this policy and the *Student Academic Misconduct Procedure* to be substantive, the SCPC will forward the amendments to the GFC Executive Committee, which will decide whether or not it can act on behalf of GFC.

    iv. GFC has final authority on amendments to this policy and the *Student Academic Misconduct Procedure*, except where they pertain to the Board's authority as described in section 10 above.

b. Amendments to the *Student Academic Misconduct Appeal Procedure:*

    i. The GFC Executive Committee will approve editorial amendments to the *Student Academic Misconduct Appeal Procedure.*

    ii. All substantive changes to the *Student Academic Misconduct Appeal Procedure* will proceed to the BLRSEC, which will decide whether or not it can act on behalf of the Board of Governors.

SCHEDULE A - ACADEMIC MISCONDUCT

1. **Plagiarism**

   Representing the words, ideas, images, data or other analogous work of another individual or other source as the student's own

   a. in any **course element** in a course or program of study, or
   b. in any other academic and/or scholarly activity.

2. **Examination Cheating**

   In an examination, test, quiz or other similar assessment activity that takes place in a testing environment (including proctored or non-proctored, in-person or online assessment activities):

   a. obtaining or attempting to obtain information from another student or other unauthorized   source,
   b. giving or attempting to give information to another student, or
   c. using, or attempting to use or possessing for the purposes of use any unauthorized   material or device.
   d. Representing or attempting to represent oneself as another, or attempting to have oneself represented by another in an examination, test, quiz or other scholarly activity.

3. **Contract Cheating**
   Using a service, company, website, or application to

   a. complete, in whole or in part, any course element, or any other academic and/or scholarly activity, which the student is required to complete on their own; or
   b. commit any other violation of this policy.

   This   includes misuse, for academic advantage, of sites or tools, including artificial intelligence applications, translation software or sites, and tutorial services, which claim to   support   student collaborative learning.

4. **Unauthorized Collaboration**
   Collaborating with others on course elements intended to be completed independently, contrary to the express instructions of the instructor, in order to gain unfair academic advantage. This should not be interpreted as precluding authorized collaboration or cooperation designed to help the student develop or enhance skills to create their own work or to gain insight into potential problems they may need to address. Examples of unauthorized collaboration include, but are not limited to:

   a. Submitting any assignment as the student's own work

   i. which contains material generated by anyone other than the student named on the assignment, and

   ii. without acknowledgement and the express permission of the instructor.

  b. Representing another's substantial editorial or compositional assistance on a course element, or any other academic or scholarly activity, as one's own work, to the extent that the work could not have been generated by the student independently but for the assistance.

  c. Advising, encouraging or knowingly aiding or assisting another person, directly or indirectly, to commit any violation under this policy.

5. Misrepresentation

  a. Misrepresenting pertinent facts to any member of the university community for the purpose of obtaining unfair academic advantage.

  b. Including in any course element or scholarly activity a statement of fact the student knows to be false, a reference to a source the student knows to contain fabricated claims (unless acknowledged by the student), or a fabricated reference to a source in any academic submission for assessment or credit.

  c. Failing to provide pertinent information on an application for admission.

  d. Misrepresenting or falsifying academic credentials, or altering an official university certification document or transcript for use in external applications including but not limited to, jobs, grants, co-op, placements, and other professional activities.

6. **Unauthorized Resubmission**

Submitting in any course or program of study, without the written approval of the course Instructor, all or a substantial portion of any course element which has previously been submitted for credit in another course. or which has been or is being submitted by the student in another course or program of study in the university or elsewhere.

7. **Misuse of Confidential Materials**

  a. Gaining access to, distributing, or receiving any confidential academic material such as pending examinations, laboratory results or the contents thereof from any source without prior and express consent of the instructor.

  b. Selling, distributing or sharing course materials not owned by the student, such as lecture materials, handouts, assignment or exam questions, slide presentations and other similar materials.

8. **Research and Scholarship Misconduct**

Committing a violation of the *Research and Scholarship Integrity Policy*.

SCHEDULE B - SANCTION DESCRIPTIONS AND IMPACT

1. **Academic Integrity Conditions**

    a. Academic integrity conditions are specific conditions or restrictions for a time not to exceed the duration of the respondent's program, that may include the following:

        i.   not to commit any further violations during the term of the conduct conditions;

        ii. to complete a relevant reflection assignment;

        iii. to write a letter of apology;

        iv. to complete an academic integrity workshop or other scholarly activity for intellectual development;

        v.   to meet such other reasonable conditions considered desirable for protecting the integrity and value of the University of Alberta degree or other accreditations.

    b. Academic integrity conditions will specify who has the responsibility to ensure compliance with the terms and to certify, when and as necessary, that the conditions have been met to a reasonable standard of performance, or have been breached.

    c. The sanction of academic integrity conditions will specify a secondary sanction to be imposed should the respondent not meet the conditions specified. Any appeal of the academic integrity conditions must be made at the time the initial sanction is imposed and within the time limits set out in the *Student Academic Misconduct Appeal Procedure*. If the conditions are not met, no further appeal is available when the specified additional sanction is imposed.

    d. The details of any academic integrity conditions will be kept in the student's discipline file according to the established record retention schedule.

    e. Any subsequent conduct that constitutes a breach of the prescribed conduct conditions during the defined period may lead to additional proceedings under this policy.

2. **Grade Reductions**

    a. Marks for an assessment(s) or the grade for a course may be reduced as a sanction for Academic Misconduct. The final grade may or may not be accompanied by a transcript notation indicating Inappropriate Academic

Behaviour. The student's grade in the course or grade point average (GPA) may, as a consequence, be substantially reduced.

b. A grade of F for graded courses or NC for non-graded courses may be assigned as a sanction for Inappropriate Academic Behaviour. The grade may or may not be accompanied by a remark, indicating Inappropriate Academic Behaviour.

c. Grade reductions and a grade of F resulting from discipline decisions will be calculated into the student's GPA. Mark reductions, reductions in final course grades and a grade of F may result in a student being required to withdraw from their program.

d. The transcript notation indicating Inappropriate Academic Behaviour will remain on the student's transcript for a period of 2 years from the end date of the term for the relevant course. After that time, the notation is removed. The following notations apply:

   i. '8' for undergraduate students, or for graduate students where the resulting grade is a passing grade

   ii. '9' for graduate students where the resulting grade is a failing grade

e. Any documentation relating to grade changes resulting from a sanction under this policy may be retained in the academic file.

3. Refusal to Consider Applications

a. The university may refuse to consider applications for admission to the university for a specified time period or indefinitely.

b. Where a sanction of refusal to consider applications has been imposed, it will be noted as a **negative service indicator** on the student's **central academic record** until the sanction expires.

c. The respondent may, after no less than five years have elapsed, petition to the **Provost** to be reconsidered for admission. The petition must include a description, with supporting evidence, of how circumstances have changed since the original decision was made.On receiving the request, the Provost will consult with the Student Conduct Officer and the Registrar's Office. The decision is final and not subject to appeal.

4. Reprimand

a. A reprimand is a disciplinary record that a respondent has been found responsible for a policy violation. It is noted in the student's discipline file, according to the established record retention schedule.

5. **Rescission of Admission Offer**

   a. Rescission of any current offer of admission received by the applicant, whether conditional or final, and cancellation of any registration. This sanction may only be imposed for application-related offences.

6. **Suspension from Academic Program**

   a. Suspension is a complete withdrawal from the university, the respondent's program in the university, and all university activities for a specified period of time, to a maximum of three years.

   b. Suspension will be noted on the respondent's central academic record, transcript, and in the respondent's academic file held by the faculty in which the student is enrolled during the period of the suspension. At the discretion of the Student Conduct Officer, the suspension may be noted on the transcript for a further period of up to three years after the end of the suspension.

   c. The respondent will receive credit for any course passed before the effective date of the suspension.

   d. Withdrawals resulting from a decision of suspension will show as grades of "W" on the respondent's transcript and will remain part of the central academic record.

   e. A respondent will be withdrawn from all courses as of the date of a suspension; the fee refund dates outlined in the *University Calendar* will apply.

   f. A respondent who has been suspended for less than 12 months will be permitted to re-enroll in the program from which they were suspended provided they have not been required to withdraw in accordance with the Faculty's published Academic Standing regulations.

   g. If the suspension is for 12 months or more, the respondent must apply for readmission to the university. Refer to the *University Calendar* for more information on admission and readmission.

   h. Any course work completed at any institution during the period of suspension will not be accepted as credit towards an individual's degree or other accreditation, or for admission to a program, or other certification at this university.

7. **Expulsion**

   a. Expulsion is a complete withdrawal from the university for an indefinite period of time.

b. Expulsion will be noted in the respondent's academic file in the Faculty in which they are registered, as a negative service indicator in the student's central academic record and on the student's transcript in perpetuity.

c. The respondent will receive credit for any course passed before the effective date of the expulsion. Withdrawals resulting from a decision of expulsion will show as grades of "W" on the respondent's transcript and will remain part of their central academic record.

d. A respondent will be withdrawn from all courses as of the date of expulsion; the fee refund dates outlined in the *University Calendar* will apply.

e. The respondent may, after no less than four years have elapsed, petition the Provost to be readmitted. The petition must include a description, with supporting evidence, of how circumstances have changed since the decision expelling the student was made. On receiving the request, the Provost will consult with the Student Conduct Officer and the Faculty/College from which the respondent was expelled. The decision is final and not subject to appeal.

f. Any course work completed at any institution during the period of expulsion will not be accepted as credit towards a student's degree or other accreditation, or for admission to a program, or any other certification at the University of Alberta.

8. Suspension of a Degree

a. Upon suspension of a degree the original award of a degree will be removed from the student's central academic record and the transcript will show that the degree has been suspended until the student meets the requirements of the university to clear the suspension.

b. If at the end of the time specified by a discipline decision, the student has met the requirements of the Student Conduct Officer or the Student Academic Misconduct Appeal Panel to clear the suspension, the original award will be restored to the student's central academic record with the original date. The record of the suspension will be removed from the transcript.

c. If, at the end of the time specified in a discipline decision, the student has not met the requirements of the Student Conduct Officer or the Student Academic Misconduct Appeal Panel to clear the suspension, the record of the suspension of the degree will not be removed. The original award will remain perpetually deleted from the student's central academic record.

d. The Student Conduct Officer or the Student Academic Misconduct Appeal Panel may recommend to the Provost that the university publish notification of the

suspension of a degree. In the case of a professional degree, this would include notification to the appropriate professional body. The decision of the Provost respecting this recommendation shall be deferred until any appeal is heard and decided. The decision of the Provost is final and binding.

9. **Rescission of a Degree**

    a. Rescission of a degree means that the original award of a degree will be perpetually deleted from the student's central academic record. The student's transcript will indicate that the degree has been rescinded.

    b. The Student Conduct Officer may recommend to the Provost that the university publish notification of the rescission of the degree. In the case of a professional degree, this would include notification to the appropriate professional body. The Provost's decision to act on this recommendation shall be deferred until an appeal is heard and decided.

Definitions

Any definitions listed in the following table apply to this document only with no implied or intended institution-wide use.	
Academic and scholarly activities	Includes, but is not limited to, course elements, conferences, presentations, publications, research, training, field work, or any other activity that is part of the academic mission of the university.
Academic credentials	Any University of Alberta certification of completion and/or proficiency, including but not limited to: degrees, diplomas, certificates, badges, credits and any other form of accreditation granted by the university.
Academic File	The file detailing a Student's academic progress held in the office of the Faculty in which the Student is enrolled and, for graduate students, in the office of the Department (or in non-departmentalized Faculties, the Faculty) responsible for delivery of the graduate program.
Academic integrity	Academic integrity refers to the expectations that every member of an academic community will conduct their studies, research, and teaching with the highest standards of ethical conduct. The International Center for Academic Integrity, through their fundamental values project, defined six values that are foundational to all academic work: honesty, trust, fairness, respect, responsibility, and courage. Those values should be kept in mind while reading this policy. https://academicintegrity.org/images/pdfs/20019_ICAI-Fundamental-Values_R12.pdf When a student engages in academic misconduct and, therefore, fails to uphold the values of academic integrity, the merit, contribution to, or the value of the student's work is distorted. This may confer an unfair academic advantage on that student that is unavailable to other students doing that same work honestly and in accordance with the values of academic integrity.
Academic misconduct	Prohibited conduct as set out in Schedule A of the *Student Academic Integrity Policy.*

Advisor	An individual who assists a respondent during the disciplinary process. Assistance may be provided by the Office of the Student Ombuds, Student Legal Services, legal counsel or another advisor chosen by the respondent.
Application-related misconduct	Misconduct committed by a student while applying to enter a program.The prohibited conduct outlined in the *Code of Applicant Behaviour*.
Balance of probabilities	The standard of proof required to find a violation of this policy. This standard requires that it is more likely than not, based on the available evidence, that the respondent was in violation of this policy.
Central academic record	A continuing record maintained by the Office of the Registrar, where all matters relating to courses, grades, and academic standing and probation are permanently recorded. Transitory notations, such as service indicators are also noted in the central academic record while they are in effect.
Course element	Any activity or work product submitted for evaluation in a course or program of study including, but not limited, to written or oral exams, quizzes, assignments, presentations, papers, practicums, theses, dissertations, and labs.
Dean	"Dean" means ● the Dean of the Faculty, or their delegate, in which a course is offered when the allegation of academic misconduct occurs in a course element, or ● the Dean of the Faculty, or their delegate, to which a student applied or has applied, for application-related offences, or ● the Dean of the Faculty, or their delegate, in which the student is enrolled, in all other cases ● The Registrar or their delegate where a student is enrolled in Open Studies
Discipline File	The file containing the disciplinary proceedings undertaken in relation to a Student, including but not limited to, the charges laid, the evidence collected, any non-adjudicative or educational agreements and their outcomes, and the findings, if any, of the

	decision-maker. Discipline Files are held electronically and are added to as cases progress through the process described in the Student Academic Misconduct Procedure and the Student Academic Misconduct Appeal Procedure. Discipline Files held by Faculty and Department offices must be kept separate from Academic Files, but in cases where a Student has been found to have committed an offence of Inappropriate Academic Behaviour, a copy of the final decision may be kept with the Student's Academic File.
Hearing	The opportunity for students to provide or respond to information, arguments, and evidence in a complaint process. A hearing can take the form of written document exchange and/or one or more oral meetings, either virtual or in-person, with the decision maker.
Instructor	An individual who is responsible for the administration of a University course or program of study, including but not limited to: the individual who taught the course, a course coordinator, a lab instructor, course captain, graduate supervisor, or supervisory committee chair. "Instructor" should be interpreted broadly to include any individual responsible for the assessment of student academic performance in a course or program of study.
Learning environment	The learning environment is to be understood broadly to encompass all aspects of university life. It includes: ● physical and virtual spaces where university teaching, learning, work, research, residence, recreational and social activities take place; ● University activities, events and functions, including, but not limited to, teaching, research, studying, work, administration, meetings, public service, travel, conferences, and training; public lectures, performances, student group events, and social or sports activities.
Negative service indicator	A transitory notation that can be placed on a student's central academic record during the period it is in effect. Service indicators assist staff in the provision or restriction of services but do not appear on a transcript. Negative service indicators can be used for financial, disciplinary or other extraordinary matters. Examples

	include but are not limited to: parking fines, library fines, disciplinary fines, orders of restitution, suspension, and exclusions.
Non-disciplinary accountability options	Collaborative facilitated processes to explore personal accountability options outside of a complaint. Designed to assist an individual in identifying and ameliorating negative consequences of their behaviour and/or to align their academic success with the principles of academic integrity,, non-disciplinary accountability options are intended to be flexible and creative, and may include, but are not limited to: remedial, restorative, and other facilitated processes to create space for accountability, with or without a complaint.
Procedural fairness	The elements of the process used by a decision-making body authorized by statute or policy to make a decision that affects an individual's rights, privileges, or interests, that give effect to an individual's right to reasonable notice of the case to meet, the opportunity to respond and the right to an impartial decision maker.
Provost	Provost and Vice-President (Academic) or delegate.
Reasonable accommodation/ reasonably accommodated	Accommodation is the process of making reasonable adjustments to the delivery of services and the conditions of employment in order to reduce or eliminate the impact of discriminatory rules, policies, practices, standards, or decisions, which have an adverse impact on an individual or group of individuals based on a characteristic or perceived characteristic referenced in the protected grounds.The university has a duty to reasonably accommodate individuals who experience barriers in their working and learning environment by reason of a protected ground to the point of undue hardship. The threshold of undue hardship is high and implicitly contemplates that some degree of hardship – including labour, resources and challenge – is acceptable. Undue hardship is assessed on a case-by-case basis.

Respondent	A person responding to an appeal to the Student Misconduct Appeal Panel.
Severe Sanctions	Sanctions which directly affect a student's participation in their academic program or which affect the student's degree, including Suspension from an academic program, Expulsion from the university, Suspension of a degree, and Rescission of a degree.
Student	An individual who is or has been registered as a student at the university whether or not for credit and includes current undergraduate and graduate students, postgraduate learners, former students, and graduates who have received a degree, diploma or certificate from the university. An individual ceases to be an applicant, and becomes a student when 1) they register for courses and 2) the add/delete deadline, as published in the *Calendar*, has passed. Application-related offences discovered after the individual becomes a student will be addressed under the *Student Academic Integrity Policy* or *Student Conduct Policy*.
Student Misconduct Appeal Panel	The decision-making body authorized to hear appeals of the decisions of the Dean or the Student Conduct Officer.
Student Conduct Officer	The person responsible for making a decision on Faculty Decision-Maker recommendations for severe sanctions under the *Academic Integrity Policy*.
Transcript	A student's official academic record issued by the Office of the Registrar and bearing the signature of the Registrar. Information for the transcript is drawn from the central academic record. Information included on the University of Alberta transcript is found in the University Calendar.

Related Links

Information
- [International Center for Academic Integrity](#).
- [Electronic Communication Policy for Students and Applicants](#)
- [University Calendar](#)

Sources of on-campus assistance
- [Office of the Dean of Students](#)
- [Office of the Student Ombuds](#)
- [Student Legal Services](#)
- [Students' Union (SU)](#)
- [Graduate Students' Association (GSA)](#)
- [l'Association des Universitaires de la Faculté Saint-Jean (AUFSJ)](#)
- [Augustana Students' Association](#)

Other related policies
- [Code of Applicant Behaviour](#)
- [Discrimination, Harassment and Duty to Accommodate Policy](#)
- [Information Technology Use and Management Policy](#)
- [Practicum Intervention Policy](#)
- [Protocol for Urgent Cases of Violent, Threatening or Disruptive Behaviour](#)
- [Research and Scholarship Integrity Policy](#)
- [Residence Community Standards](#)
- [Sexual and Gender-Based Violence Policy](#)
- [Student Conduct Policy](#)
- [Student Groups Procedure](#)

If any of the links are broken, please contact uappol@ualberta.ca

Published Procedures of This Policy

- Student Academic Misconduct Procedure
- Student Academic Misconduct Appeal Procedure

Original Approval Date:

Most Recent Approval:

Most Recent Editorial Date:

Parent Policy: Student Academic Integrity Policy

Document 3:

Student Academic Misconduct Appeal Procedure

Office of Administrative Responsibility:	University Secretary
Approver:	Board of Governors
Scope:	This procedure applies to all University of Alberta **students** as defined in the *Student Conduct Academic Integrity Policy*.

Overview

As an institution of higher learning, the university adopts procedures that reflect its academic mission, that is, it aims to ensure the integrity of grades, credits, credentials, diplomas, certificates, degrees and other accreditations granted by the university, as well as research and scholarly conduct associated connected to our community . The University is committed to **procedural fairness** and **equity-informed practice** to reduce harm throughout the student academic integrity process.

Section 31 of the *Post-Secondary Learning Act* (PSLA) gives General Faculties Council (GFC) authority to discipline students, "subject to a right of appeal to the board".

To fulfill this appeal function, the Board has adopted and approved this *Student Academic Misconduct Appeal Procedure* and has delegated the powers and functions in the appeal process to the persons identified in this procedure.

Purpose

This procedure sets out:

- the right of appeal;

- the timelines within which to initiate an appeal and the required content of an appeal;

- the composition of the **Student Misconduct Appeal Panel** (the "Appeal Panel") and the manner in which the Appeal Panel is constituted;

- the required training of the Appeal Panel members;

- the procedures for an appeal**;**

- the process used to address procedural requests;

- the procedures and powers of the Appeal Panel; and

- the service of documents related to the appeal.

Procedure

1. Right of Appeal

a. The student has the right to appeal disciplinary decisions made by the Faculty Decision-Maker and of the Student Conduct Officer under the *Student Academic Integrity Policy*. Should a decision by the Faculty Decision-Maker be referred to the Student Conduct Officer with a recommendation for a severe sanction, the appeal of the Faculty Decision-Maker's decision will be delayed until the Student Conduct Officer has completed their decision. Both the Faculty and the student have a right to appeal the final decision of the Student Conduct Officer. All appeals to the Appeal Panel must be submitted within 15 working days of the deemed receipt of the relevant decision. Where the student has appealed a decision, the Faculty Decision-Maker who made the original decision will act in response for appeals of both their and the Student Conduct Officer's decisions.

b. An **appellant** may appeal the decision of a decision maker on the following grounds:

    i.   The decision maker erred in their decision as to whether or not they had jurisdiction to apply the *Student Academic Integrity Policy*;

    ii.   The decision maker made an error in the finding of violation or no violation; and/or

    iii.   The decision maker did not meet the duty of procedural fairness for reasons including, but not limited to:

1. The appellant was not given a reasonable opportunity to provide information to the decision maker;

2. The appellant was not given a reasonable opportunity to respond to evidence or statements contrary to their account;

3. The decision maker was biased; and/or

4. Any other denial of procedural fairness.

c. The student may appeal the decision of the decision maker on any of the grounds set out in (b) above and on any other grounds, including but not limited to:

   i. The sanction is outside of a reasonable range, given the nature of the violation, and/or

   ii. Other specified grounds for the appeal.

d. The appeal will be based on the **record** which was before the decision maker.

e. The Appeal Panel will determine whether:

   i. The decision maker's decision contained errors to the extent that those errors would have a material effect on the outcome of the decision; or

   ii. The sanctions imposed by the decision maker were unreasonable in the circumstances.

2. Initiating an Appeal

a. An appellant or respondent may seek assistance from an **advisor** throughout an appeal process.

b. Any appeal of the decision of the decision maker must be submitted to the **Appeals and Compliance Coordinator** within 15 working days of the deemed receipt of the decision.

c. The written appeal must state the grounds for the appeal and include all available arguments, evidence or objections in support of the appeal.

d. An appeal can be withdrawn at any time prior to the **appeal hearing**.

3. Appeal Panel Members

a. For each appeal hearing the Appeal Panel will consist of one academic staff member as chair and two students. All Appeal Panel members (academic staff members and students) will be elected by GFC. In selecting members of the Appeal Panel, GFC will attempt to keep the membership of the Appeal Panel as broadly representative as possible given the available pool of candidates.

b. GFC will elect a roster of up to seven academic staff members to serve as chairs of particular appeal hearings ("Roster of chairs"). The Appeal Panel chairs will serve a term of up to four years.

c. GFC will elect a roster of 10 undergraduate students and 6 graduate students ("Roster of Students"). All student members will be elected to serve a term of up to two years and are eligible for re-election.

d. When constituting the Appeal Panel, members will be chosen from the rosters listed above. The Appeals and Compliance Coordinator will endeavour to ensure that the Appeal Panel chair and members are impartial and free from conflicts of interest.

e. When an appeal hearing involves an undergraduate student, the Appeal Panel will include at least one undergraduate student. When an appeal hearing involves a graduate student, the Appeal Panel will include at least one graduate student. For the purposes of selection and service on the Appeal Panel, graduate students are considered to be from the Faculty where they receive supervision. Students who are in any joint graduate/undergraduate degree program (e.g., the joint MBA/LLB program) are considered to be graduate students for the purpose of service and selection on the Appeal Panel.

f. Any Appeal Panel member who has been called to serve on the Appeal Panel for a particular case must complete their service on that case even if their term on an Appeal Panel expires or, in the case of student members, a student graduates or changes status from undergraduate to graduate.

Alternates

g. If all Appeal Panel chairs are unable to serve, the Appeals and Compliance Coordinator may complete an Appeal Panel by selecting a member of the GFC AAC Panel of Chairs.

h. If all student members from the Roster of Students are unable to serve, the Appeals and Compliance Coordinator may complete an Appeal Panel by selecting either one full-time undergraduate student or one full-time graduate student, from the GFC AAC Panel of Students.

4. Mandatory Training for Appeal Panel Members

a. All Appeal Panel chairs, members and alternates must have completed the training outlined in the *Student Academic Integrity Policy* before hearing any appeals.

b. At the discretion of the chair, having regard to **equity-informed practices**, new Appeal Panel members may attend any oral appeal hearing as observers for training purposes. Delegates of the Office of General Counsel may also attend any oral appeal hearing as an observer.

5. Procedures for an Appeal

a. On receiving an appeal, the Appeals and Compliance Coordinator will be responsible for collecting and distributing documents to both parties and providing each party with the opportunity to respond to all relevant issues raised in any procedural request, appeal submission, response, the record, and the Faculty Decision-Maker's and/or Student Conduct Officer's decision.

b. As documents and materials become available, the Appeals and Compliance Coordinator will:

   i. Provide to the appellant:

      1. Confirmation of receipt of the appeal;

      2. A list of on-campus resources;

      3. A copy of the record before the Appeal Panel and the opportunity to submit any supplemental appeal arguments and/or material arising from the record within 15 working days of receiving the record;

      4. The response to the appeal, and notice that the appellant may reply only to any new issues or materials contained in the response (appellant's reply) within 5 working days of receiving notice;

      5. The respondent's reply; and

      6. Any procedural requests from the appeal respondent and notice that the appellant may, within 5 working days of receiving notice, submit a response to the procedural request.

   ii. Provide to the **respondent**:

      1. The appeal, the record, and any supplemental appeal arguments and/or material submitted by the appellant (the full appeal);

      2. A list of on-campus resources;

3. Notice that the response to the full appeal must be submitted within 15 working days of receiving the full appeal;

4. If applicable, the appellant's reply, and notice that the respondent may reply only to any new issues or materials contained in the appellant's reply within 5 working days (respondent's reply); and

5. Any procedural requests from the appellant and notice that the appeal respondent may reply to the procedural request within 5 working days.

c. The appellant and respondent must provide the name of their respective advisors to the Appeals and Compliance Coordinator.

d. The Appeals and Compliance Coordinator is responsible for organizing and administering the appeal hearing. Accordingly, the Appeals and Compliance Coordinator will:

   i. select a chair for the appeal hearing;

   ii. provide the parties with the name of the proposed chair and the names of all student members of the Appeal Panel;

   iii. set the date(s) for the appeal hearing in consultation with the Appeal Panel chair. Normally, appeal hearings will be scheduled within 6 weeks from the date the appeal was received;

   iv. where the appeal hearing cannot be scheduled within the timeline noted above, give the parties written notice of the anticipated date for the appeal hearing;

   v. where both parties have appealed the decision, schedule both appeals to be heard together by the same Appeal Panel at a single appeal hearing; and

   vi. address any other matter for the purposes of organizing and administering the appeal hearing.

e. The Appeals and Compliance Coordinator will constitute the Appeal Panel and provide its members and the parties with:

   i. the date and time of the appeal hearing;

   ii. the decision of the Faculty Decision-Maker and/or Student Conduct Officer;

   iii. the record on which the Faculty Decision-Maker and/or Student Conduct Officer decision was based; and

iv. all written appeal(s), supplementary appeal arguments and/or material, response(s) and any replies.

f. The Appeals and Compliance Coordinator will notify the parties of the date and time of the appeal hearing.

g. The Appeals and Compliance Coordinator may take any other required steps in order to administer the appeal process.

6. Procedural Requests

a. The chair will decide any procedural questions that arise both before and during the appeal hearing, in consultation with the Appeals and Compliance Coordinator. The chair's decision on a procedural request will be decided in writing and may be made without an oral appeal hearing. The chair's decision on a procedural request is final and binding.

b. Procedural requests must be submitted in writing to the Appeals and Compliance Coordinator and include written reasons to support the request. Where the request affects the other party, the Appeals and Compliance Coordinator will notify the other party and allow them to respond or make submissions on the request before the chair makes a decision.

c. Procedural requests include, but are not limited to:

i. Request that Appeal Panel chair or member not serve on Appeal Panel:

1. After receiving the names of the Appeal Panel members, the parties will have 5 working days to submit a written request that the proposed Appeal Panel chair or member not serve on the appeal.

2. These requests may be made only on the grounds that the proposed Appeal Panel chair or member may have a bias or conflict of interest that would prevent a fair hearing.

3. If the request is granted, the Appeals and Compliance Coordinator will replace the proposed Appeal Panel chair or member with another member who will be selected by rotation wherever possible, from the same constituent group (i.e., academic staff, undergraduate student or graduate student).

ii. Request that sanctions be withheld until the appeal is decided:

1. This request must be made within 5 working days from the date the appeal was submitted.

2. If granted, the Appeals and Compliance Coordinator will direct the Registrar to:

   a. remove any sanctions from the **central academic record**; and

   b. withhold degrees, certification of marks and/or **transcripts** pending the outcome of the appeal.

3. Sanctions will be reinstated if the complaint respondent withdraws their appeal.

iii. Requests for the Appeal Panel to consider new evidence or information that was not before the Faculty Decision-Maker and/or Student Conduct Officer in the record:

1. The onus is on the party making this request to establish that:

   a. the new evidence or information is relevant; and

   b. was not reasonably available at the time of the Faculty Decision-Maker and/or Student Conduct Officer hearing; and

   c. they made the request as soon as possible after becoming aware of the new evidence or information.

2. The chair may only grant this request where the test set out in (1) has been satisfied on a balance of probabilities

iv. Request to vary the format of the appeal hearing(s):

1. Appeal hearings will normally be heard through a document exchange through written submissions to the Appeals and Compliance Coordinator, but either party can request an oral hearing with the Appeal Panel.

2. This request must be made well in advance of the date set for the appeal hearing.

v. Request to extend any time limits set out in this procedure;

vi. Any other procedural request.

7. Procedures and Powers of the Panel

a. The Appeal Panel will consider the entire record, the parties' appeal, response and reply documents, and where applicable, the parties' oral statements made at the appeal hearing before coming to a decision, by majority vote.

b. In considering their decision, the Appeal Panel will show deference to the Faculty Decision-Maker and/or Student Conduct Officer's decision, particularly with respect to the findings of facts and, accordingly, may only overturn a decision of the Faculty Decision-Maker and/or Student Conduct Officer where it was made on the basis of an error or errors that would have had a material effect on the outcome.

c. The Appeal Panel has the power to grant an appeal, in whole or in part, only where:

    i. the appellant establishes that the Faculty Decision-Maker and/or Student Conduct Officer incorrectly

        1. found or did not find a real and substantial link to or material effect on the learning environment;

        2. acted outside of their authority under the *Student Academic Integrity Policy* and/or the *Student Academic Misconduct Procedure;*

        3. defined the elements of a violation; and/or

        4. other similar grounds related to the application or interpretation of *Student Academic Integrity Policy* and/or *Student Academic Misconduct Procedure*.

    ii. the appellant establishes that the findings of facts made by the Faculty Decision-Maker and/or Student Conduct Officer contain errors, such as

        1. making a finding of fact without any evidence;

        2. considering irrelevant facts;

        3. giving undue weight to certain facts;

        4. misapplying the facts to the elements of a violation in the *Student Academic Integrity Policy;* and/or

        5. other similar ground related to the facts.

    iii. the appellant establishes that there was a breach of procedural fairness in the Faculty Decision-Maker and/or Student Conduct Officer hearing, such as

1. the appellant was not provided with the opportunity to respond to an allegation or adverse evidence;

2. the Faculty Decision-Maker and/or Student Conduct Officer did not provide reasonable disclosure of the investigation report;

3. the Faculty Decision-Maker and/or Student Conduct Officer was not impartial;

4. the appellant was not provided with information about or sufficient opportunity to secure an advisor;

5. there were significant and unjustifiable delays in the process to the extent that the fairness of the process was undermined; and/or

6. other similar ground related to procedural fairness.

iv. In addition to (c) above, the Appeal Panel may grant an appeal of sanction made by the student only where the appellant establishes that the Faculty Decision-Maker and/or Student Conduct Officer assigned a sanction(s) outside of a reasonable range, having regard to the nature of the violation and other relevant surrounding circumstances.

Decision of the Appeal Panel

d. Where the Appeal Panel grants an appeal, they have the power to do the following:

i. With respect to an appeal by the Faculty Decision-Maker, the Appeal Panel must remit the matter back to the Faculty Decision-Maker and/or Student Conduct Officer who made the decision or, where appropriate, a different Student Conduct Officer, to remedy the errors and issue a new decision.

ii. With respect to an appeal by the student, the Appeal Panel may:

1. grant the appeal and overturn the decision;

2. grant the appeal and remit the matter back to the Faculty Decision-Maker and/or Student Conduct Officer who made the decision or, where appropriate, a different Faculty Decision-Maker and/or Student Conduct Officer, to remedy the errors and/or issue a new decision; or

3. substitute a different sanction.

e. Decisions of the Faculty Decision-Maker and/or Student Conduct Officer are subject to one appeal only. Amended decisions in which errors have been remedied are not

subject to additional appeal. Where a new decision is issued, that decision may be appealed.

f. The Appeal Panel does not have the power to overturn a consequence resulting from a failure to meet specified conduct conditions (see *Student Academic Integrity Policy,* Schedule C, "Academic Integrity Conditions"). Any appeal of academic integrity conditions must be made at the time the sanction is imposed and within the time limits set out in the *Student Academic Misconduct Appeal Procedure*. If the conduct conditions are not met, no further appeal is available when the consequence is applied.

g. The Appeal Panel's decision is final and is not subject to any further review or reconsideration by any University person or body.

h. The chair of the Appeal Panel will communicate the decision to the Appeals and Compliance Coordinator, who will, as soon as possible, relay the decision to the parties and their respective advisors.

i. The chair will normally submit the Appeal Panel's written reasons for the decision to the Appeals and Compliance Coordinator within 15 working days of reaching the decision. Where the written reasons are delayed, the Appeals and Compliance Coordinator will give written notice to the appellant and appeal respondent.

8. Service of Documents

a. Any notices, communications, and appeal materials will be sent electronically using University accounts. See the *Electronic Communication Policy for Students and Applicants* in the *University Calendar*.

b. On receiving the written decision, the Appeals and Compliance Coordinator will send a copy to the following individuals:

   i.   the appellant and respondent, and their respective advisors;

   ii. the Student Conduct Officer, where the Student Conduct Officer's decision was appealed;

   iii. the Vice-Provost and Dean of Students;

   iv. the Office of General Counsel; and

   v.   members on the Appeal Panel.

c. The Appeals and Compliance Coordinator may provide a copy or excerpts of the decision to any other University unit as may be appropriate to administer the

sanction or for other authorized purposes, for example, to units including, but not limited to, the following:

    i.   where a sanction is to be noted on the student's central academic record or transcript, the Appeals and Compliance Coordinator will notify the Office of the Registrar;

    ii.   where a sanction affects the student's academic program, the Appeals and Compliance Coordinator will notify the respondent's College or independent Faculty; and

    iii.   in programs jointly offered with another institution, the Appeals and Compliance Coordinator will provide a copy of the decision to the partner institution when the violation relates to the student's conduct at that partner institution.

Definitions

Any definitions listed in the following table apply to this document only with no implied or intended institution-wide use.	
Procedural Fairness	The elements of the process used by a decision-making body authorized by statute or policy to make a decision that affects an individual's rights, privileges, or interests, that give effect to an individual's right to reasonable notice of the case to meet, the opportunity to respond and the right to an impartial decision maker.
Equity-informed practice	Equity-informed practice: An approach to processes, procedures and service provision that centres equitable and inclusive access, aspires to barrier-free design for learning principles, and supports reasonable accommodation when access to or participation in the learning environment is limited as a result of a protected ground.
Learning environment	The learning environment is to be understood broadly to encompass all aspects of University life. It includes: ● physical and virtual spaces where University teaching, learning, work, research, residence, recreational and social activities take place;

	• University activities, events and functions, including, but not limited to, teaching, research, studying, work, administration, meetings, public service, travel, conferences, and training; public lectures, performances, student group events, and social or sports activities.
Student Misconduct Appeal Panel	The decision-making body authorized to hear appeals of the decision made under the *Academic Integrity Policy*.
Appellant	A person who appeals the decision of the Faculty Decision-Maker or the Student Conduct Officer under this procedure.
Record	The materials on which a decision of the Faculty Decision-Maker and/or Student Conduct Officer was based. The record includes any materials, statements, or responses provided to the Faculty Decision-Maker and/or Student Conduct Officer that were relevant to the question of whether an individual was in violation of the *Student Academic Integrity Policy* and any information or materials, statements, or responses related to the consideration of appropriate sanction(s).
Appeals and Compliance Coordinator	The person responsible for administration of the *Student Misconduct Appeal Procedure*.
Respondent	The person who responds to an appeal under this procedure.
Advisor	A person who assists an appellant or respondent during the appeal process. Assistance may be provided by the Office of the Student Ombuds, Student Legal Services, legal counsel or another advisor as the parties choose.
Appeal Hearing	The opportunity for complainants and respondents to provide or respond to information, arguments, and evidence in an appeal process. An appeal hearing can take the form of written document exchange and/or one or more oral meetings, either virtual or in-person.

Central academic record	A continuing record maintained by the Office of the Registrar, where all matters relating to courses, grades, and academic standing and probation are permanently recorded. Transitory notations, such as service indicators are also noted in the central academic record while they are in effect.
Transcript	A student's official academic record issued by the Office of the Registrar and bearing the signature of the Registrar. Information for the transcript is drawn from the central academic record. Information included on the University of Alberta transcript is found in the University Calendar.

Related Links

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If any of the links are broken, please contact uappol@ualberta.ca

Original Approval Date:

Most Recent Approval:

Most Recent Editorial Date:

Parent Policy: Student Academic Integrity Policy

Document 2:

Student Academic Misconduct Procedure

Office of Administrative Responsibility:	Vice Provost and Dean of Students
Approver:	General Faculties Council
Scope:	This procedure applies to all University of Alberta **students** as defined in this policy.

Overview

As an institution of higher learning, the University adopts procedures that reflect its academic mission, that is, they aim to foster a vibrant and supportive **learning environment**, and, wherever possible, encourage rehabilitation, learning, remediation and personal accountability for students who have contravened the *Student Academic Integrity Policy*.

Nondisciplinary accountability options for resolution are also available, including remedial, restorative, and other facilitated processes to create space for accountability, with or without a complaint.

The **student** cycle at the University necessitates a timely way to address conduct that negatively affects the University community and the learning environment. Students engaged in a process under this policy need clarity as to outcomes and to have the matter addressed expeditiously and fairly.

Purpose

The purpose of this procedure is to:

- describe how any person may bring forward a potential **academic integrity** concern;

- set out the recommendations the Instructor may make to the **Dean** for addressing a potential academic integrity concern;

- describe the procedure for the Dean for addressing a potential academic integrity concern, including initiating a complaint;

- set out resources for non-disciplinary accountability options;

- describe the procedures for the **Student Conduct Officer**;

- set out the right to appeal the decision of a Dean or Student Conduct Officer to the **Student Academic Misconduct Appeal Panel**

- describe the service of documents related to the complaint.

Responsibilities

1. Students are solely responsible for the academic integrity of all work submitted under their name in their courses, programs, and other scholarly activities.

2. **Instructors** are responsible for encouraging and promoting academic integrity education as it relates to the **course elements** in their course and identifying potential violations.

3. Deans and Student Conduct Officers are responsible for monitoring any non-disciplinary accountability agreements they arrange, and administering and monitoring any conditions or sanctions they impose.

Procedure

1. Raising Academic Integrity Concerns
a. Anyone may raise an academic integrity concern by bringing the concern to the Instructor or, where an Instructor cannot be identified, to the relevant Dean, and should do so as soon as possible after becoming aware of the concern.

b. The Instructor may raise an academic integrity concern with a student and make any inquiries about the concern as they deem appropriate.

2. Instructor's Recommendations to the Dean

a. As soon as possible after becoming aware of a potential violation of the *Academic Integrity Policy*, the Instructor will provide to the Dean a detailed account of the events that transpired, a brief explanation for their recommendations and supporting documentation or other information relevant.

b. The Instructor may recommend to the Dean that the academic integrity concern be addressed through

> i. non-disciplinary accountability options; or
>
> ii. a complaint process.

c. The Instructor may also include suggestions for specific non-disciplinary or disciplinary outcomes, depending on the overall approach they have chosen to recommend. If a non-disciplinary accountability option is recommended, the Instructor should include any ways in which they would be willing to participate.

3. Procedures to Decide Academic Integrity Pathway

a. Upon receiving an academic integrity concern, the Dean will consider the information and the instructor's recommendation, if any, related to the academic integrity concern.

b. As soon as possible, the Dean will

- offer the student the opportunity to provide a brief written explanation, in a timely way, for their views on whether the concern should be addressed through non-disciplinary accountability options or through a complaint;

- offer the student the opportunity to provide any information to the Dean that is relevant to the decision on how to address the concern; and

- advise the student that they may consult with and be accompanied by an **advisor** at any point during an academic integrity process and provide the student with information about on-campus assistance.

c. The Dean may also offer to meet with the student, in-person or virtually.

d. In deciding how to address the academic integrity concern, the Dean may consider

- the information and the Instructor's recommendation, if any, related to the academic integrity concern;

- the views and information provided by the student;

- the student's participation in a prior non-disciplinary accountability option and/or prior history of policy violations, if any; and

- any other relevant information.

e. While the Dean will consider the instructor's recommendation and the views of the student as to how to address the academic integrity concern, the Dean is not bound by that recommendation or those views.

4. Non-Disciplinary Accountability Options
a. Where the Dean offers to address the academic integrity concern through non-disciplinary accountability options, the Dean will, in consultation with the student, determine what actions or assignments the student will undertake in order to

i. educate and develop the student's understanding of the harms caused by academic misconduct and the importance of academic integrity; and

ii. develop the student's knowledge, skills and abilities to enable them to align their behaviour with the fundamental values of academic integrity.

b. The actions and assignments will be set out in writing and agreement confirmed by the Dean and the student. The actions and assignments need to be specific and measurable and a date for their completion must be specified in the agreement. These agreements should not involve the original instructor in the course without their agreement.

c. The Dean will monitor the student's performance of the actions and assignments and may, in writing, agree to extend any timelines set out in the agreement.

d. The Dean will determine whether and when the student has successfully completed the actions and assignments by the timelines in their agreement. If the student disagrees with the Dean's determinations in any of these respects, the student may, within 5 working days of the decision, apply to a Student Conduct Officer for a decision on whether or not the terms of the agreement have been met. The Student Conduct Officer's decision is final.

e. Where the Dean determines that the student has successfully completed the actions and assignments as agreed, the Dean will confirm the student's successful completion of the non-disciplinary accountability option to the student's Faculty.

f. Where the Dean determines that the student has not successfully completed the actions or assignments as agreed, and following a decision by the Student Conduct Officer on any challenge by the student under Section 4d, the Dean will refer the matter to a Faculty Decision-Maker to address the academic integrity concern through the complaint process.

g. No information gathered in the course of carrying out a non-disciplinary accountability option will be used against a student in the complaint process.

h. A Dean may consider the student's successful completion of the actions and assignments in their agreement to determine whether any subsequent allegation of an academic integrity concern should be addressed through non-disciplinary accountability options or a complaint process.

i. A Faculty Decision-Maker may consider the student's successful completion of the actions and assignment in their agreement when determining a sanction, when a complaint process is used to address a subsequent academic integrity complaint.

j. Where   the student completes their educational and/or non-disciplinary accountability expectations successfully, the academic integrity concern will be considered resolved and cannot subsequently be referred for a decision under the complaint process.

5. Complaint Process for Faculty Decision-Makers
a. Where the Dean decides to address the academic integrity concern through the complaint process, the Dean will assign a Faculty Decision-Maker.

b. The Faculty Decision-Maker will

> i. Offer the student a **hearing** to determine whether the student agrees with or disputes the facts of the academic integrity concern as disclosed by the instructor.

> ii. The offer of a hearing will include
>> 1. The purpose of the hearing,
>> 2. The student's right to an advisor,
>> 3. Reasonable disclosure of relevant information related to the academic integrity concern, and
>> 4. Choice of hearing format, for example, written document exchange, or virtual or in-person meeting.

c. If the student disputes the facts, the Faculty Decision-Maker will review the matter further by talking with the relevant parties and complete any necessary investigation to arrive at a finding,

on a balance of probabilities, as to whether the student is in violation of the *Academic Integrity Policy.*

d. Only where the Faculty Decision-Maker has found the student to be in violation, prior to imposing a sanction, the Faculty Decision-Maker will

    i. check to determine if the student has previously violated the *Student Academic Integrity Policy* or is or has been involved in any voluntary accountability options.

    ii. only consider the student's previous violation or involvement in a voluntary accountability option for the purpose of determining an appropriate sanction.

e. Where the Faculty Decision-Maker determines, on a balance of probabilities, that the student has violated the *Student Academic Integrity Policy*, or where the student does not dispute the facts, the Faculty Decision-Maker may impose one or more of the following sanctions as set out in Schedule B of the *Student Academic Integrity Policy,* and specify any conditions or starting dates required by the following sanctions:

- Academic Integrity Conditions
- Grade Sanctions
- Reprimand
- Recission of Admission Offer
- Refusal to Consider Application

f. In the event that the student refuses or fails to provide a response to the academic integrity concern within a specified period of time, the Faculty Decision-Maker will make a decision, which may include one or more sanctions, taking into account the available evidence.

g. The Faculty Decision-Maker will communicate their decision in writing to the student, normally within six weeks of receiving the complaint. The decision will include:
- a finding on whether the student is in violation of the *Academic Integrity Policy*,
- the sections of Schedule A of the *Student Academic Integrity Policy*, if any, the student is found to have violated,
- which sanctions, if any, they are imposing,
- any conditions imposed as part of those sanctions,
- any recommendation to the Student Conduct Officer, where applicable,
- the reasons for the findings and sanctions,
- the student's right to appeal, and
- the appeal deadline if there is no referral to the Student Conduct Officer.

h. The Faculty Decision-Maker will refer the case to a Student Conduct Officer where the Faculty Decision-Maker seeks to apply any of the following, which are considered to be **Severe Sanctions:**

- Suspension from an Academic Program
- Expulsion
- Suspension of a Degree
- Recission of a Degree

i. In making a referral to a Student Conduct Officer, the Faculty Decision-Maker will forward their decision, all relevant information and submissions collected or received by them and reasons for their recommendation of the above sanctions to the Student Conduct Officer.

6. **Complaint Process for Student Conduct Officers**

a. After receiving a recommendation from a Dean, the Student Conduct Officer will offer the student a hearing. The offer of a hearing will include:
   i. The purpose of the hearing,
   ii. The student's right to an advisor,
   iii. A description of the recommended sanction(s) and their implications, and
   iv. Reasonable disclosure of any information forwarded in support of the Faculty Decision-Maker's recommended sanctions and the reasons for the recommendation.

b. Where the student accepts the facts as laid out in the Faculty Decision-Maker's decision, the Faculty Decision-Maker's decision is confirmed and the student may make written or oral submissions about the recommended sanction(s) and their impact.

c. Where the student contests facts as laid out in the Faculty Decision-Maker's decision or the Faculty Decision-Maker's interpretation of the facts, the student may provide the Student Conduct Officer with a written or oral response to the Faculty Decision-Maker's decision along with any relevant information or supporting documents.

   i. The Student Conduct Officer may, at their discretion, engage in further investigation as necessary.
   ii. When the Student Conduct Officer is satisfied they have access to all of the available evidence, they will determine, on a balance of probabilities, whether the student was in violation of the *Academic Integrity Policy* ("Violation") or the violation was not established ("No Violation").

f. If a student declines the hearing, either directly or through missing a reasonable deadline for the hearing, the Student Conduct Officer will confirm the Faculty Decision-Maker's decision and proceed to a consideration of the recommended sanction(s).

g. Where the Faculty Decision-Maker's decision is confirmed, the Student Conduct Officer will determine sanctions, if any, from the list in Appendix B of the *Student Academic Integrity Policy*. The Student Conduct Officer will take into account:

      i. the recommendation of the Faculty Decision-Maker,

      ii. what they learned from the student,

      Iii. the available supporting information, and

      Iv. other relevant factors, including applicable prior conduct history.

h. The Student Conduct Officer will specify any starting dates, conditions or other details required for the sanctions imposed.

i. Any sanctions imposed by the Faculty Decision-Makerwill stand unless the Student Conduct Officer finds that the student was not in violation of the *Academic Integrity Policy*.

      i. Where the Student Conduct Officer finds no violation, the earlier decision by the Faculty Decision-Makerwill be set aside and, where applicable, the course element will be marked and factored into the student's final grade.

j. The Student Conduct Officer will communicate their decision in writing to the student, normally within six weeks of receiving the referral. The decision will include:

- whether the Faculty Decision-Maker's decision is confirmed or set aside,
- The sections of Schedule A of the *Student Academic Integrity Policy,* if any, the student is found to have violated,
- an overview of the evidence and arguments considered,
- information, including any history of related violations, that may have been influential in determining the appropriateness of the sanction(s),
- any sanctions imposed,
- any conditions imposed as part of those sanctions,
- the reasons for the findings and sanctions,
- information regarding deadlines and procedures for appeal, and
- a list of on-campus assistance.

k. Where the Student Conduct Officer is not able to provide the written decision within the timeline noted above, the Student Conduct Officer will give the student and the Faculty Decision-Maker written notice of the anticipated timeline for the decision.

l. The Student Conduct Officer's decision is subject to appeal by both the student and the Faculty Decision-Maker, as set out in the *Student Academic Misconduct Appeal Procedure*.

j. The Student Conduct Officer's decision is final and takes effect immediately, subject to an appeal under the *Student Academic Misconduct Appeal Procedure*.

8. Complaint Service and Notice

a. The Faculty Decision-Maker and, if applicable, the Student Conduct Officer will send their decision electronically to the

> i. student,
> ii. instructor who raised the academic integrity concern,
> iii. Dean of the College and/or Faculty in which the student is registered,
> iv. if applicable, student's advisor and Graduate Coordinator, and
> v. Appeals and Compliance Coordinator.

b. In addition, the Student Conduct Officer will provide a copy of the decision for information to the:

> i. Faculty Decision-Maker who referred the matter to the Student Conduct Officer,
> ii. Office of General Counsel, and
> iii. Vice Provost and Dean of Students.

c. All decisions will be communicated using university accounts. See the *Electronic Communication Policy* for Students and Applicants in the *University Calendar*. Where a student's advisor does not have a university account, the student may forward the decision to their advisor.

d. The Faculty Decision-Maker and/or Student Conduct Officer may also provide a copy or excerpts of the decision to any other University of Alberta unit as may be appropriate to administer the sanction or for other authorized purposes, for example, to units including, but not limited to, the following:

> i. The Office of the Registrar where a sanction is to be noted on the student's central academic record or transcript,
>
> ii. The partner institution for programs jointly offered with that partner institution, when the violation relates to the student's conduct at that partner institution.

11. Records

Records of sanctions (disciplinary records) will be kept in accordance with the applicable records retention procedures. Any record of completed expectations as laid out in a non-disciplinary accountability option will be expunged upon completion of the student's academic program or upon the normal date of file destruction, whichever comes first.

Definitions

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

Academic integrity	Academic integrity refers to the expectations that every member of an academic community will conduct their studies, research, and teaching with the highest expectations of ethical conduct. The International Center for Academic Integrity, through their fundamental values project, defined six values that are foundational to every academic community: honesty, trust, fairness, respect, responsibility, and courage. Those values should be kept in mind while reading this policy. https://academicintegrity.org/images/pdfs/20019_ICAI-Fundamental-Values_R12.pdf When a student engages in academic misconduct and, therefore, fails to uphold the values of academic integrity, the student's merit, contribution to or the value of the student's work is distorted. This may confer an unfair academic advantage on that student that is unavailable to other students doing that same work honestly and in accordance with the values of academic integrity.
Advisor	A person who assists a complainant or respondent during the disciplinary process. Assistance may be provided by the Office of the Student Ombuds, Student Legal Services, legal counsel or another advisor chosen by the respondent.
Dean	"Dean" means • the Dean of the Faculty, or their delegate, in which a course is offered when the allegation of academic misconduct occurs in a course element, or • the Dean of the Faculty, or their delegate, to which an applicant has applied, for application-related offences, or • the Dean of the Faculty, or their delegate, in which the student is enrolled, in all other cases • The Registrar or their delegate where a student is enrolled in Open Studies.

Faculty Decision-Maker	The individual the Dean has delegated to hear and decide an academic integrity complaint.
Instructor	An individual who is responsible for the administration of a University course or program of study, including but not limited to: the individual who taught the course, a course coordinator, a lab instructor, course captain, graduate supervisor, or supervisory committee chair. "Instructor" should be interpreted broadly to include any individual responsible for the assessment of student academic performance in a course or program of study.
Learning environment	The learning environment is to be understood broadly to encompass all aspects of University life. It includes: • physical and virtual spaces where University teaching, learning, work, research, residence, recreational and social activities take place; • University activities, events and functions, including, but not limited to, teaching, research, studying, work, administration, meetings, public service, travel, conferences, and training; public lectures, performances, student group events, and social or sports activities.
Non-disciplinary accountability options	Collaborative facilitated processes to explore personal accountability options outside of a complaint. Designed to assist a person in identifying and ameliorating negative consequences of their behaviour, non-disciplinary accountability options are intended to be flexible and creative, and may include, but are not limited to: restorative practices, transformative justice, culturally-specific and appropriate practices, peacemaking circles, as well as educational and other voluntary facilitated resolution options.
Severe Sanctions	Sanctions which directly affect a student's participation in their academic program or which affect the student's degree, including: Suspension from an academic program, Expulsion from the university, Suspension of a degree, and Rescission of a degree.

Student	A person who is or has been registered as a student at the University whether or not for credit and includes current Undergraduate and Graduate Students, postgraduate learners, former Students, and graduates who have received a Degree, diploma or certificate from the University. A person ceases to be an applicant, and becomes a student when they register for courses and the registration deadline, as published in the *Calendar*, has passed. Application-related offences discovered after the person becomes a student will be addressed under the *Student Academic Integrity Policy* or *Student Conduct Policy*.
Student Misconduct Appeal Panel	The decision-making body authorized to hear appeals of the decisions of the Dean or the Student Conduct Officer.
Student Conduct Officer	The person responsible for making a decision on Faculty Decision-Maker recommendations for severe sanctions under the *Academic Integrity Policy*.
Hearing	The opportunity for a student to provide or respond to information, arguments, and evidence in a complaint process. A hearing can take the form of written document exchange and/or one or more oral meetings, either virtual or in-person, between the decision maker and each of the parties and witnesses.

Related Links

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If any of the links are broken, please contact uappol@ualberta.ca

UNIVERSITY OF ALBERTA   **Heather Richholt <richholt@ualberta.ca>**

Message from President and Vice-Chancellor, Bill Flanagan
1 message

Kate Peters <peters3@ualberta.ca>   Thu, May 25, 2023 at 10:10 AM
Cc: Heather Richholt <richholt@ualberta.ca>, Faiza Billo <faiza.billo@ualberta.ca>

Dear Members of GFC,
Please see the message below from the Chair of GFC.
Thank you,
Kate

Good morning,

I'm pleased to announce that John Lemieux has accepted the role as the new full-time University Secretary after an
extensive nationwide search. His first day at the University of Alberta will be August 1.

A proud U of A alumnus, John is an experienced lawyer with a proven commitment to public service and community
building. John most recently served as a partner at Dentons Canada LLP, where he was a valued member of the firm's
leadership team. Throughout his legal career, John has focussed on governance matters, regulatory compliance and
privacy and cyber security. Outside of work, he is an active member of the community, volunteering his time to various
organizations, including the Art Gallery of Alberta

John is known for his ability to collaborate and build consensus to solve sensitive issues in a fair and balanced manner. I
know he will be a valued asset to the University of Alberta. I look forward to working with him in his new role.

I would like to thank Brad Hamdon for his professionalism and commitment to the university while he managed the
combined roles of University Secretary and General Counsel. Brad will return to the full-time role of University General
Counsel on August 1.

I also want to thank the search committee – which included representatives from the Board of Governors, General
Faculties Council, academic staff, administration and students – for their efforts.

Please join me in welcoming John to the University of Alberta and to his new role as University Secretary.

Thank you.

Bill Flanagan
President and vice-chancellor

Kate Peters | *Pronouns: She/Her/Elle*
Secretary to General Faculties Council (GFC) and Manager, GFC Services

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UNIVERSITY OF ALBERTA

**L'Université de l'Alberta reconnaît respectueusement
que nous sommes situés sur le territoire des traités 6, 7 et 8,
terres traditionnelles des Premières Nations et des Métis.**

University Governance | www.governance.ualberta.ca

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