The following Motions and Documents were considered by the Board of Governors during the Open Session of its Friday, March 25, 2022 meeting:

Agenda Title: **2022/23 University of Alberta Parking Rates**

APPROVED MOTION: THAT the Board of Governors, on the recommendation of the Board Finance and Property Committee, approve a 10% increase to parking permit rates, and an increase of up to 22% for select visitor parking rates, as set forth in Attachment 1 and effective April 1, 2022.

Final Item: 3b.

Agenda Title: **2022-2023 University of Alberta Residence Rates (Augustana)**

APPROVED MOTION: THAT the Board of Governors, on the recommendation of the Board Finance and Property Committee, approve an increase of $100 per month for renovated residence rooms at Augustana.

Final Item: 3c.

Agenda Title: **Amendment to Board of Governors Bylaws Section 7.5**

APPROVED MOTION: THAT the Board of Governors, on the recommendation of the Board Governance Committee, approve amendments to Section 7.5 of the Board of Governors Bylaws, as set-forth in Attachment 1, to take effect upon final approval.

Final Item: 3d.

Agenda Title: **Committee Composition Frameworks**

APPROVED MOTION: THAT the Board of Governors, on the recommendation of the Board Governance Committee, approve the proposed Board Standing Committee Composition Frameworks, as set forth in Attachment 1, to be incorporated into committees' Terms of Reference and to take effect July 1, 2022.

Final Item: 3e.

Agenda Title: **Teaching, Learning and Evaluation Policy Suite**

APPROVED MOTION: THAT the Board of Governors, on the recommendation of the Board Learning, Research and Student Experience and Board Human Resources and Compensation Committees and General Faculties Council, approve the proposed UAPPOL Teaching, Learning and Evaluation Policy suite, as set forth in Attachments 1, 2 and 3, to take effect July 1, 2022.

Final Item: 3f.

Agenda Title: **University Funds Investment Policy**

APPROVED MOTION: THAT the Board of Governors, on the recommendation of the Board Investment Committee, approve the revised University Funds Investment Policy, as set forth in Attachment 1.

Final Item: 3g.

Agenda Title: **Approval of the Proposed Residence Community Standards Policy Suite and Rescission of the Current University of Alberta Residence Community Standards Policy**

APPROVED MOTION: THAT the Board of Governors, on the recommendation of the Board Learning, Research and Student Experience Committee and General Faculties Council, approve the proposed UAPPOL Residence Community Standards Policy Suite, as set forth in Attachments 2 and 3, and the rescission of the current Residence Community Standards Policy, as set forth in Attachment 5, all to take effect August 1, 2022.

Final Item: 3h.

Agenda Title: **Faculty of Education Restructuring**

APPROVED MOTION: THAT the Board of Governors, on the recommendation of the Board Learning, Research and Student Experience Committee and General Faculties Council, approve the proposal for a non-departmentalized structure for the Faculty of Education, to take effect July 1, 2022.

Final Item: 3i.

Agenda Title: **University of Alberta 2022-2023 Tuition Fee Proposal and Student Financial Aid**

APPROVED MOTION: THAT the Board of Governors, on the recommendation of the Board Finance and Property Committee and the General Faculties Council Academic Planning Committee, approve the Tuition Proposal for Fall 2022 as outlined in the following table, with exclusions as outlined below:

Category of Student	Proposed Increase for Fall 2022	Financial Support
Domestic Undergraduate (incoming and continuing students)[1]	7%	15% of net increase
International Undergraduate (continuing students admitted prior to Fall 2020)	4%	7.55%[2]
Domestic Graduate Thesis (continuing students admitted prior to Fall 2020)	7% increase with rebate to 2.67%[3]	15% of net increase
Domestic Graduate Thesis (2020 entry and beyond)[1]	7%	15% of net increase
Domestic Graduate Course-based (per *3)[1]	7%	15% of net increase
International Graduate Thesis (continuing students admitted prior to Fall 2020)	7% increase with rebate to 2.67%[3]	7.55%[2]
International Graduate Course-based (per *3, continuing students admitted prior to Fall 2020)	4%	7.55%[2]

[1] With the exception of incoming students in programs with approved exceptional tuition increases for Fall 2022. (As approved by the Board of Governors on October 15, 2021.)
[2] Existing model for International tuition financial aid.
[3] 2.67% is consistent with the rebated increase from last year and is designed to ensure consistency and predictability for students in alignment with cost drivers. This is of net tuition and expires after 4 years after first introduction.

Continued…

Exclusions:
The following programs will have their tuition rates held at the Fall 2021 rate:

Undergraduate Program Exclusions to Domestic Tuition Increases:
The following programs will be excluded from the 7% tuition increase:

- Certificate in Teaching Students with Complex Communication Needs
- Certificate in Advanced Adolescent Literacy
- Certificate in Early Childhood Education

Graduate Program Exclusions to Domestic Tuition Increases:
The following programs will be excluded from the 7% tuition increase:

- Graduate Certificate in Educational Studies
- Graduate Certificate in School Leadership
- Master of Education in Educational Studies
- Master of Education in Health Science Education
- Master of Science Internetworking
- Master of Science in Multimedia Studies

Final Item: 4a.

Agenda Title: **University of Alberta 2022-2023 Consolidated Budget**

APPROVED MOTION: THAT the Board of Governors, on the recommendation of the Board Finance and Property Committee and the General Faculties Council Academic Planning Committee, approve the 2022-23 Consolidated Budget as set forth in Attachment 1.

Final Item: 4b.

Item No. 3b

Governance Executive Summary
Action Item

Agenda Title	**2022/23 University of Alberta Parking Rates**

Motion

THAT the Board of Governors, on the recommendation of the Board Finance and Property Committee, approve a 10% increase to parking permit rates, and an increase of up to 22% for select visitor parking rates, as set forth in Attachment 1 and effective April 1, 2022.

Item

Action Requested	☒ Approval ☐ Recommendation
Proposed by	Andrew Sharman, Vice-President (Facilities and Operations)
Presenter(s)	• Katherine Huising, Associate Vice-President, Campus Services • James Smith, Assistant Dean, Finance and Administration, Augustana

Details

Office of Administrative Responsibility	Office of the Vice-President (Facilities and Operations)
The Purpose of the Proposal is (*please be specific*)	The purpose of the proposal is twofold: 1. **Across-the-board increases.** To **inform** the Board of Governors of the across-the-board increase of 2.6% to parking permit rates at most parking locations effective April 1, 2022. 2. **Dynamic pricing model increases.** To **seek approval** for rate increases at select high-demand University of Alberta North Campus parking locations effective April 1, 2022. (see attached)
Executive Summary (*outline the specific item – and remember your audience*)	Parking Services, like all units within Campus Services, must operate on a financially sustainable basis. Fees charged for parking privileges must cover all associated costs, including ongoing and deferred maintenance, and maintaining operating and capital reserves. No tuition or government (e.g. base, capital, and maintenance) funding is expended on these operations. Additionally, in support of the University of Alberta for Tomorrow, Parking Services must achieve annual sustainable financial contribution targets as established through revenue modelling analyses conducted in consultation with NOUS. **1. Across-the-board increases.** Campus Services is increasing monthly and annual parking permit rates at most locations by 2.6 percent. For cost of living parking rate increases, Campus Services relies on the decision of the Board of Governors on December 9, 2011: *THAT the Board of Governors, on the recommendation of the Board Finance and Property Committee, approve that parking fees up to and including cost of living increase are received by the Board Finance and Property Committee and the Board of Governors on an annual basis for information.* This adjustment will result in increases at most locations only for monthly and annual permits. Rates for any particular permitted lot may not equal exactly 2.6 percent to reflect a very slight rounding to accommodate payroll

	deductions. Visitor rates at these locations will remain unchanged for the 2022/23 academic year. **2. Dynamic pricing model increases.** As detailed in the attached table, it is proposed that permit parking rates be increased at select high-demand North Campus parking locations by 10%, and visitor rates in similar high-demand locations by $1.00 per hour (18-22%).
Supplementary Notes and context	

Engagement and Routing (Include meeting dates)

Consultation and Stakeholder Participation (parties who have seen the proposal and in what capacity)	*Those who are actively **participating**:* • Campus Services • Augustana
	*Those who have been **consulted**:* • Vice-President (Facilities and Operations) • Board Finance and Property Committee – November 23, 2022
	*Those who have been **informed**:* • University Governance Budget Briefing – February 4, 2022
Approval Route (Governance)	• Board Finance and Property Committee – March 10, 2022 • Board of Governors – March 25, 2022

Strategic Alignment

Alignment with *For the Public Good*	SUSTAIN 23. OBJECTIVE: Ensure that the University of Alberta's campuses, facilities, utility, and information technology infrastructure can continue to meet the needs and strategic goals of the university. Strategy: Secure and sustain funding to plan, operate, expand, renew, and optimize the use of campus infrastructure to meet evolving teaching and research priorities.	
Alignment with Core Risk Area	Please note below the specific institutional risk(s) this proposal is addressing.	
	☐ Enrolment Management ☐ Faculty and Staff ☒ Funding and Resource Management ☐ IT Services, Software and Hardware ☐ Leadership and Change ☐ Physical Infrastructure	☐ Relationship with Stakeholders ☐ Reputation ☐ Research Enterprise ☐ Safety ☐ Student Success
Legislative Compliance and jurisdiction	• Post-secondary Learning Act • BFPC Terms of Reference Section 2o	

Attachments:

1. 2022-23 Proposed Parking Rates – Dynamic Pricing Locations (2 pages) – for approval

Prepared by: Gordon Weighell, Chief of Staff, Office of the Vice-President (Facilities and Operations)
gordon.weighell@ualberta.ca

2022-23 University of Alberta Proposed Parking Rates

DYNAMIC PRICING LOCATIONS (MONTHLY PERMITS)

North Campus Monthly Rates	Current Monthly Rate	Proposed increase of 10.0%	Total Proposed Monthly (after rounding)	Total Proposed Monthly (before rounding)
Heated Underground				
ECERF, TIMMS/TELUS				
Unreserved stall	$ 178.90	$ 17.89	**$ 196.80**	$ 196.79
Private stall	$ 220.60	$ 22.06	**$ 242.70**	$ 242.66
Carparks				
EDUCATION				
Unreserved stall	$ 126.20	$ 12.62	**$ 138.80**	$ 138.82
Private stall	$ 160.30	$ 16.03	**$ 176.30**	$ 176.33
Surface Lots				
LOT E, LOT N, LOT L				
Unreserved with Power	$ 109.70	$ 10.97	**$ 120.70**	$ 120.67
Private with Power	$ 143.40	$ 14.34	**$ 157.70**	$ 157.74
JUBILEE				
Surface	$ 92.70	$ 9.27	**$ 102.00**	$ 101.97

2022-23 University of Alberta Proposed Parking Rates
DYNAMIC PRICING LOCATIONS (VISITOR RATES)

North Campus Visitor Rates	Current Hourly Rate	Proposed Rate (an increase of $1.00/hr)	Current Weekday/Weekend and Evening Maximum Rate	Proposed Weekday/Weekend/Evening Maximum Rates (increase of $3.00/day;$1.00/wknd/eve)
Heated Underground				
TIMMS/TELUS				
Unreserved stall	$ 4.50	**$ 5.50**	$15.00/$5.50	**$18.00/$6.50**
Carpark				
EDUCATION				
Unreserved stall	$ 5.50	**$ 6.50**	$16.00/$5.50	**$19.00/$6.50**
Surface Lots				
LOT E, LOT A, VAN VLIET EAST/WEST, STADIUM EAST/SOUTH				
Unreserved stall	$ 5.50	**$ 6.50**	No maximum	**No maximum**
LOT N				
Unreserved stall	N/A	**N/A**	$5.50 Flat rate eve/wknd only	**$6.50 Flat rate eve/wknd only**
LOT L				
Unreserved stall	$ 4.50	**$ 5.50**	$15.00/$5.50	**$18.00/$6.50**
JUBILEE				
Surface	$ 4.50	**$ 5.50**	$15.00/$6.00	**$18.00/$7.00**

Governance Executive Summary
Action Item

Agenda Title	**2022-2023 University of Alberta Residence Rates (Augustana)**

Motion

THAT the Board of Governors, on the recommendation of the Board Finance and Property Committee, approve an increase of $100 per month for renovated residence rooms at Augustana.

Item

Action Requested	☒ Approval ☐ Recommendation
Proposed by	Steven Dew, Provost & Vice-President (Academic)
Presenter(s)	James Smith, Campus General Manager

Details

Office of Administrative Responsibility	Office of the Provost & Vice-President (Academic)
The Purpose of the Proposal is (*please be specific*)	The proposal is before the Board seeking approval to increase rental rates for residence rooms at Augustana.
Executive Summary (*outline the specific item – and remember your audience*)	Augustana is planning to offer a new renovated room rate as a result of renovations that will be completed on three of its six Ravine residence buildings. This renovated room rate is $100/month more than the 2021-2022 rate and includes the 2.25% increase incorporated with the 2022-23 residence room rates. Monthly Rent Contract / 2021-22 / 2022-23 Renovated* / Percent Increase 8 Month Single / $618 / $718 / 16.20% 8 Month Double / $438 / $538 / 22.90% 4 Month Single / $647 / $747 / 15.50% 4 Month Double / $459 / $559 / 21.80% *Includes the 2.25% Increase This proposed rate increase exceeds the authority for the Board Finance and Property Committee (BFPC) to approve under its delegated authority. BFPC has delegated authority to approve the 2.25% increase to non-renovated residence rooms at Augustana.
Supplementary Notes and context	*The Board Finance and Property Committee approved the following motion with delegated authority at their March 10, 2022 meeting:* THAT the Board Finance and Property Committee, acting with delegated authority of the Board of Governors, approve an increase of 2.25% to the rates charged for non-renovated residence rooms at Augustana.

Engagement and Routing (Include meeting dates)

Consultation and Stakeholder Participation (parties who have seen the proposal and in what capacity) <For information on the protocol see the Governance Resources section Student Participation Protocol>	*Those who are actively **participating**:* ● Augustana Campus ● Associate Vice-President (Campus Services)
	*Those who have been **consulted**:* ● Meeting(s) Augustana Students Association President ○ January 19, 2022
	*Those who have been **informed**:* ● University Governance Budget Briefing – February 4, 2022
Approval Route (Governance) (including meeting dates)	● Board Finance and Property Committee – March 10, 2022 ● Board of Governors – March 25, 2022

Strategic Alignment

Alignment with *For the Public Good*	**Institutional Strategic Plan – For the Public Good** Sustain our people, our work, and the environment by attracting and stewarding the resources we need to deliver excellence to the benefit of all. 21. Objective: Encourage continuous improvement in administrative, governance, planning and stewardship systems, procedures, and policies that enables students, faculty, staff, and the institution as a whole to achieve shared strategic goals. iv. Strategy: facilitate easy access to and use of university services, and systems; reduce complication and complexity; and encourage cross-institutional administrative and operational collaboration.	
Alignment with Core Risk Area	Please note below the specific institutional risk(s) this proposal is addressing.	
	☐ Enrolment Management ☐ Faculty and Staff ☒ Funding and Resource Management ☐ IT Services, Software and Hardware ☐ Leadership and Change ☒ Physical Infrastructure	☐ Relationship with Stakeholders ☐ Reputation ☐ Research Enterprise ☐ Safety ☒ Student Success
Legislative Compliance and jurisdiction	● Post-secondary Learning Act (PSLA) Section 73(1) ● BFPC – Terms of Reference Sections 2m and 3j	

Attachments: none

Prepared by: James Smith - Augustana Campus General Manager

Item No. 3d

Governance Executive Summary
Action Item

Agenda Title	**Amendment to Board of Governors Bylaws Section 7.5**

Motion

THAT the Board of Governors, on the recommendation of the Board Governance Committee, approve amendments to Section 7.5 of the Board of Governors Bylaws, as set-forth in Attachment 1, to take effect upon final approval.

Item

Action Requested	☒ Approval ☐ Recommendation
Proposed by	Guy Bridgeman, Chair, Board Governance Committee; Juli Zinken, Board Secretary and Manager of Board Services
Presenter(s)	Guy Bridgeman, Chair, Board Governance Committee; Juli Zinken, Board Secretary and Manager of Board Services

Details

Office of Admin Responsibility	University Governance
The Purpose of the Proposal is (please be specific)	To approve amendments to Section 7.5 of the Board Bylaws to allow for greater flexibility in the term-length for committee members.
Executive Summary (*outline the specific item – and remember your audience*)	On June 18, 2021, the Board of Governors approved bylaws to guide its work. Section 7.5 of the bylaws refers to membership on Board Standing Committees, including the appointment of committee members, and states that committee members will be appointed for a three (3) year term, and re-appointed for two (2) additional three (3) year terms, up to a maximum term of nine (9) years. As written, Section 7.5 does not allow the Board Governance Committee and Board of Governors to appoint or reappoint Governors and Non-Governor Committee Members for terms shorter than three years. This inflexibility is particularly impractical for student governors, who are appointed to the Board for only a one-year term, and also does not contemplate special circumstances that require abbreviated terms. The proposed amendments, as set forth in Attachment 1, will provide flexibility in the term-length for committee members as required.
Supplementary Notes / context	

Engagement and Routing (Include meeting dates)

Consultation and Stakeholder Participation (parties who have seen the proposal and in what capacity) <For information on the protocol see the Governance Resources section Student Participation Protocol>	*Those who are actively **participating**:* • Board Secretary and Manager of Board Services
	*Those who have been **consulted**:* • Chair, Board of Governors • Vice-Chair, Board of Governors; Chair, Board Governance Committee • General Counsel and University Secretary • Assistant Board Secretary
	*Those who have been **informed**:* •

Item No. 3d

Approval Route (Governance) (including meeting dates)	Board Governance Committee – March 9, 2022 – for recommendation Board of Governors – March 25, 2022 – for approval

Strategic Alignment

Alignment with *For the Public Good*		
Alignment with Core Risk Area	Please note below the specific institutional risk(s) this proposal is addressing.	
	☐ Enrolment Management ☐ Faculty and Staff ☐ Funding and Resource Management ☐ IT Services, Software and Hardware ☒ Leadership and Change ☐ Physical Infrastructure	☒ Relationship with Stakeholders ☐ Reputation ☐ Research Enterprise ☐ Safety ☐ Student Success
Legislative Compliance and jurisdiction	Board Governance Cttee Terms of Reference – Sections 2 c,d,e,k; 3b Board of Governors Bylaws	

Attachment:

1. Board of Governors Bylaws Section 7.5 – redline changes (1 page)

Prepared by: Juli Zinken, Board Secretary and Manager of Board Services

7.5 Membership

Composition of standing Committees will be set out in each Committee's Terms of Reference. With the exception of ex-officio members, all Committee members will be appointed by the Board.

Members of Committees may be Governors or Non-Governor Committee Members, as may be provided in the Committee's Terms of Reference. All Governors are eligible to serve on Board standing Committees except in those circumstances where a Committee's mandate requires independence of its members, meaning that a Governor does not have a direct or indirect relationship arising from their status as a Nominated Governor or Public Governor that could, in the view of the Board, reasonably be expected to interfere with or influence the exercise of a Governor's independent judgment as outlined in the Code of Conduct, and/or where a Governor may have a conflict of interest.

With the exception of ex-officio members, Committee members will be appointed for a ~~three (3) year~~ term of up to three (3) years. A Committee member may be re-appointed for two (2) additional ~~three (3) year~~ terms, up to a maximum term of nine (9) years. In exceptional circumstances, the Board, in its sole discretion, may appoint a Committee member even if the appointment will result in a total term that exceeds nine (9) years.

The Chair, the Chancellor, and the President are ex-officio members of each Standing Committee. Ex-officio members have the same rights as other Committee members for all Standing Committees, with the exception the Board Audit and Risk Committee, of which the President is not entitled to vote.

A Committee Chair will be recommended by the Chair for approval and appointment by the Board. A Committee Vice-Chair will be elected by the Committee from its appointed voting members. In addition to meeting the obligations as a Governor, the Committee Chair will provide effective leadership to the Committee so as to fulfil its duties as outlined in its Terms of Reference.

Item No. 3e

Governance Executive Summary
Action Item

Agenda Title	**Committee Composition Frameworks**

Motion

THAT the Board of Governors, on the recommendation of the Board Governance Committee, approve the proposed Board Standing Committee Composition Frameworks, as set forth in Attachment 1, to be incorporated into committees' Terms of Reference and to take effect July 1, 2022.

Item

Action Requested	☒ Approval ☐ Recommendation
Proposed by	Juli Zinken, Board Secretary and Manager of Board Services
Presenter(s)	Juli Zinken, Board Secretary and Manager of Board Services

Details

Office of Administrative Responsibility	University Governance
The Purpose of the Proposal is	To seek Board of Governors approval of committee composition frameworks to be incorporated into future revised committee Terms of Reference, as part of the 2021-22 Triennial Board Committee Review.
Executive Summary (*outline the specific item – and remember your audience*)	***Background:*** Composition of Board standing committees is crucial to ensuring decisions are made in an informed manner that takes into account the role of the Board and the breadth of issues, fiduciary responsibilities, and perspectives of the Board. In 2018, the Board approved Principles for Board of Governors Standing Committee Composition. The approved principles provide a framework to create committee compositions that are reflective of Board membership and appropriate to the role and mandates of those committees. At the same time, the Board approved individual committee composition frameworks with less explicit membership categories, reflective of the principles' commitment to diversity and broad representation, and of the Board Governance Committee's role in tracking skills matrices for each committee and populating committees accordingly. These frameworks are housed within committee Terms of Reference. ***September BGC Meeting:*** In September, the Board Governance Committee (BGC) held an initial review of the Board's standing committee composition frameworks to ensure committee compositions were appropriate and effective. Discussion included consideration of: • Why some committee's membership exceeds their approved composition frameworks, and whether composition frameworks or membership needed to be adjusted. • How BGC can ensure that no one committee has too many / too few members, and what that perfect balance is. • Whether requirements for independent members on certain committees remained appropriate.

	Following discussion, the committee agreed to consider potential changes, including increased flexibility for the number of committee members, at its next meeting. ***November BGC Meeting / Current Proposal:*** At the November BGC meeting, The Chair and Ms Zinken sought feedback on proposed changes to the committee composition frameworks. *Composition Flexibility:* the proposed frameworks were adjusted to reflect BGC feedback that composition frameworks should be considered "guidelines" rather than firm rules, and that seven members seemed a reasonable size for committee membership, where possible. Members recommended using the words "where appropriate" instead of "where possible" before the number of appointed members. *Independence of Members:* University Governance reviewed the current requirements for independence of members (as defined in Section 7.5 of the Board Bylaws) on the Audit and Risk (BARC), Human Resources and Compensation (BHRCC), and Investment Committees (BIC). Following discussions with the BIC Chair and management, it was decided that a formal requirement for independence of members on BIC was no longer required, given that appointments are now made by BGC based on a skills matrix, with consideration of the Board Code of Conduct and Board Bylaws. Independence of membership on BARC and BHRCC was still recommended. **Discussions from the November BGC meeting are reflected in the current proposal.**
Supplementary Notes / context	The approved committee composition frameworks will be incorporated into the final revised committee Terms of Reference once approved by the Board of Governors.

Engagement and Routing (Include proposed plan)

Consultation and Stakeholder Participation	*Those who are actively **participating**:* • Vice-Chair, Board of Governors; Chair, Board Governance Committee • Board Secretary and Manager of Board Services
	*Those who have been **consulted**:* • General Counsel and University Secretary • Assistant Board Secretary • Vice-Chair, Board Governance Committee • Chair, Board Investment Committee • Director, Investments and Treasury • Board Governance Committee – Sept 29, 2021; Nov 24, 2021
Approval Route (Governance)	Board Governance Committee, March 9, 2022 - for recommendation Board of Governors, March 25, 2022 – for approval

Strategic Alignment

Alignment with *For the Public Good*	*SUSTAIN: Sustain our people, our work, and the environment by attracting and stewarding the resources we need to deliver excellence to the benefit of all.*

	21. Encourage continuous improvement in administrative, governance, planning and stewardship systems, procedures, and policies that enable students, faculty, staff, and the institution as a whole to achieve shared strategic goals.	
Alignment with Core Risk Area	Please note below the specific institutional risk(s) this proposal is addressing.	
	☐ Enrolment Management ☐ Faculty and Staff ☐ Funding and Resource Management ☐ IT Services, Software and Hardware ☒ Leadership and Change ☐ Physical Infrastructure	☒ Relationship with Stakeholders ☒ Reputation ☐ Research Enterprise ☐ Safety ☐ Student Success
Legislative Compliance and jurisdiction	1. Post-secondary Learning Act (PSLA), Section 60 (1)(b) 2. Principles for Board of Governors Standing Committee Composition 3. Board of Governors Bylaws 4. Board Governance Committee Terms of Reference Sections 2(c)(i)	

Attachments:

1. Revised Committee Composition Frameworks (2 pages) – for approval

Prepared by: Juli Zinken, Board Secretary and Manager of Board Services

UNIVERSITY OF ALBERTA
UNIVERSITY GOVERNANCE

Triennial Board Standing Committee Review
Committee Composition Frameworks

Composition Frameworks are found in Section 4 of Board Standing Committee Terms of Reference, and are set in accordance with the Principles for Board of Governors Standing Committee Composition and Board Bylaws.

**Editorial changes have been made to reflect recently-approved Board of Governors Bylaws*

Current	Proposed
Board Audit and Risk Committee	
Members (9) *Ex-officio (2)* *a) The Board Chair, by virtue of office* *b) The Chancellor, by virtue of office* ***Appointed (7)*** *c) No more than seven Governors or Non-Governor Committee Members, as appointed by the Board or its delegate** **Members of this committee require independence, as set-out in the Principles for Board of Governors Standing Committee Composition and the Board of Governors Bylaws.*	***Members (9)*** *Ex-officio (2)* *d) The Board Chair, by virtue of office* *e) The Chancellor, by virtue of office* ***Appointed (7)*** *f) Where appropriate, no more than seven Governors or Non-Governor Committee Members, as appointed by the Board or its delegate** **Members of this committee require independence, as set-out in the Principles for Board of Governors Standing Committee Composition and the Board of Governors Bylaws.*
Board Finance and Property Committee	
Members (10) *Ex-officio (3)* *a) The Board Chair, by virtue of office* *b) The Chancellor, by virtue of office* *c) The President and Vice-Chancellor, by virtue of office* ***Appointed (7)*** d) *No more than seven Governors or Non-Governor Committee Members, as appointed by the Board or its delegate*	***Members (10)*** *Ex-officio (3)* *a) The Board Chair, by virtue of office* *b) The Chancellor, by virtue of office* *c) The President and Vice-Chancellor, by virtue of office* ***Appointed (7)*** *d) Where appropriate, no more than seven Governors or Non-Governor Committee Members, as appointed by the Board or its delegate*
Board Governance Committee	
Members (10) *Ex-officio (3)* *a) The Board Chair, by virtue of office* *b) The Chancellor, by virtue of office* *c) The President and Vice-Chancellor, by virtue of office* ***Appointed (7)*** *d) No more than seven Governors, and* *e) No more than one Non-Governor Committee Member,* *with a total not exceeding seven voting members as appointed by the Board or its delegate, of whom at least one must be the chair of a Board standing committee.*	***Members (10)*** *Ex-officio (3)* *a) The Board Chair, by virtue of office* *b) The Chancellor, by virtue of office* *c) The President and Vice-Chancellor, by virtue of office* ***Appointed (7)*** *e) Where appropriate, no more than seven Governors or Non-Governor Committee Members, as appointed by the Board or its delegate*
Board Human Resources and Compensation Committee	
Members (8) *Ex-officio (3)* *a) The Board Chair, by virtue of office* *b) The Chancellor, by virtue of office* *c) The President and Vice-Chancellor, by virtue of office* ***Appointed (5)*** *d) No more than five Governors or Non-Governor Committee Members, as appointed by the Board or its delegate** **Members of this committee require independence, as set-out in the Principles for Board of Governors Standing Committee Composition and the Board of Governors Bylaws.*	***Members (8)*** *Ex-officio (3)* *a) The Board Chair, by virtue of office* *b) The Chancellor, by virtue of office* *c) The President and Vice-Chancellor, by virtue of office* ***Appointed (5)*** *d) Where appropriate, no more than seven Governors or Non-Governor Committee Members, as appointed by the Board or its delegate** **Members of this committee require independence, as set-out in the Principles for Board of Governors Standing Committee Composition and the Board of Governors Bylaws.*

UNIVERSITY OF ALBERTA
UNIVERSITY GOVERNANCE

Triennial Board Standing Committee Review
Committee Composition Frameworks

Composition Frameworks are found in Section 4 of Board Standing Committee Terms of Reference, and are set in accordance with the Principles for Board of Governors Standing Committee Composition and Board Bylaws.

**Editorial changes have been made to reflect recently-approved Board of Governors Bylaws*

Current	Proposed
Board Investment Committee	
Members (10) ***Ex-officio (3)*** *a) The Board Chair, by virtue of office* *b) The Chancellor, by virtue of office* *c) The President and Vice-Chancellor, by virtue of office* ***Appointed (7)*** *d) No more than seven Governors or Non-Governor Committee Members, as appointed by the Board or its delegate** **Members of this committee require independence, as set-out in the Principles for Board of Governors Standing Committee Composition and the Board of Governors Bylaws.*	***Members (10)*** ***Ex-officio (3)*** *a) The Board Chair, by virtue of office* *b) The Chancellor, by virtue of office* *c) The President and Vice-Chancellor, by virtue of office* ***Appointed (7)*** *d) Where appropriate, no more than seven Governors or Non-Governor Committee Members, as appointed by the Board or its delegate**
Board Learning, Research, and Student Experience Committee	
Members (10) ***Ex-officio (3)*** *a) The Board Chair, by virtue of office* *b) The Chancellor, by virtue of office* *c) The President and Vice-Chancellor, by virtue of office* ***Appointed (7)*** d) *No more than seven Governors or Non-Governor Committee Members, as appointed by the Board or its delegate*	***Members (10)*** ***Ex-officio (3)*** *a) The Board Chair, by virtue of office* *b) The Chancellor, by virtue of office* *c) The President and Vice-Chancellor, by virtue of office* ***Appointed (7)*** *d) Where appropriate, no more than seven Governors or Non-Governor Committee Members, as appointed by the Board or its delegate*
Board Reputation and Public Affairs Committee	
Members (10) ***Ex-officio (3)*** *a) The Board Chair, by virtue of office* *b) The Chancellor, by virtue of office* *c) The President and Vice-Chancellor, by virtue of office* ***Appointed (7)*** d) *No more than seven Governors or Non-Governor Committee Members, as appointed by the Board or its delegate*	***Members (10)*** ***Ex-officio (3)*** *e) The Board Chair, by virtue of office* *f) The Chancellor, by virtue of office* *g) The President and Vice-Chancellor, by virtue of office* ***Appointed (7)*** *h) Where appropriate, no more than seven Governors or Non-Governor Committee Members, as appointed by the Board or its delegate*

Governance Executive Summary
Action Item

Agenda Title	**Teaching, Learning and Evaluation Policy Suite**

Motion

THAT the Board of Governors, on the recommendation of the Board Learning, Research and Student Experience and Board Human Resources and Compensation Committees and General Faculties Council, approve the proposed UAPPOL Teaching, Learning and Evaluation Policy suite, as set forth in Attachments 1, 2 and 3, to take effect July 1, 2022.

Item

Action Requested	☒ Approval ☐ Recommendation
Proposed by	Steven Dew, Provost and Vice-President (Academic), Wendy Rodgers (Deputy Provost), and John Nychka (Vice-Provost (Learning Initiatives) and Chair, GFC CLE)
Presenter(s)	Steven Dew, Provost and Vice-President (Academic), Wendy Rodgers (Deputy Provost), and John Nychka (Vice-Provost (Learning Initiatives) and Chair, GFC CLE)

Details

Office of Administrative Responsibility	Office of the Provost and Vice-President (Academic)
The Purpose of the Proposal is (*please be specific*)	The proposal is before the Board of Governors to provide a final version of the policy suite, and seek approval of the Teaching, Learning, and Evaluation Policy for the University of Alberta.
Executive Summary (*outline the specific item – and remember your audience*)	The establishment of the new Teaching, Learning, and Evaluation Policy Suite in UAPPOL and the concurrent rescission of Section 111 of the GFC Policy Manual is intended to update the institutional approach towards teaching and learning at the University of Alberta in alignment with *For the Public Good* and other strategic initiatives; incorporate the principles of the Effective Teaching Framework and communication of expectations into one central policy suite; house clear processes related to student input on the evaluation and/or experience of teaching within the Policy's procedures; include revised student input questions; and allow for the future provision of guidelines on multi-faceted evaluation. Initial consultation with key stakeholders began in Winter 2021. Consultation continued April through June, including town-hall style meetings with various campus student groups as well as a consultation meeting with instructors in June 2021. In July 2021, a Working Group composed of various faculty members and representation from the Students' Union and Graduate Students' Association was tasked with developing new student input (USRI) questions reflecting best practices. The AASUA has also recently provided Administration with helpful commentary. Some of the key considerations raised through consultation to date includes:

	● the initiative has value to all vested parties with overall beneficial outcomes for the institution: positive teaching informs a positive student learning experience which can lead to positive recognition for instructors for their teaching expertise; ● there is need for revised student input questions and refining the way that students written comments are collected; feedback should be timely, specific, and actionable; ● the fact that student completion of USRIs is not mandatory may result in courses not receiving a statistically significant sample of results, which has been a longstanding problem, particularly with the adoption of the on-line survey format. The CLE Taskforce on Student Experience of Teaching and Learning (SETL) has looked at the mandatory aspect; including discussion as to whether written comments are necessary; ● address the contextual nature of the learning experience and the feedback instrument; ensure the instrument is at a level that allows for the ability to address different teaching contexts; relevance is a key component to the survey; ● there are important EDI considerations, including addressing the bias that exists within USRI evaluation; educate students completing the evaluations beforehand and provide feedback on how the data is used from their evaluations (including annual instructor evaluations, course improvement, etc.); and, ● students have a desire to understand how the data collected is/will be used. The attached Policy and Procedure incorporate the feedback raised through the initial rounds of consultation conducted earlier this year, and builds upon GFC 111 as well as existing work-to-date (Effective Framework for Teaching). The drafters have also taken into consideration feedback that was gathered through earlier efforts to modify the USRI process. Changes proposed in the Procedure since the initial round of consultation include, but are not limited to, the following: ● change of working title of the survey to Student Perspectives of Teaching (SPOT); ● moving from the concept of student evaluation to student perspectives and experiences; ● focused commentary for each question; ● inclusion of the ability to create an instructor optional midterm feedback survey and other surveys (already available through TSQS); ● updating and emphasis of the possibility of biases; ● encouragement to allow class time for completion; ● surveys open for 2 weeks instead of one (inclusive of the withdrawal date); ● ability to isolate the results of surveys of withdrawn students; ● table to better illustrate who receives what parts of the report when; ● hot links to existing information on the University website.

	The attached Appendix A reflects the current USRI questions modeled onto a new template demonstrating the preamble and the shift to individual comment fields for each question. Following piloting and validation, the new SPOT questions will eventually replace the USRI questions detailed here.
Supplementary Notes and context	During the discussion at the February 28 meeting, members of GFC suggested several changes to clarify the procedure and the appendix of the policy suite. These changes will: • Clarify the instructor is not to be present during the in-class time provided for completing the survey; • Make the comments provided "optional" rather than "explanatory"; and • Ensure that timing for distributing the survey optimizes student engagement. These changes were accepted by the proponents as friendly and have been added to the proposal. --- At that same meeting, GFC approved a motion rescinding GFC Policy 111 (Attachment 4) pending final approval of the UAPPOL Teaching, Learning and Evaluation Policy suite, to take effect July 1, 2022.
Engagement and Routing (Include meeting dates) Consultation and Stakeholder Participation (parties who have seen the proposal and in what capacity) <For information on the protocol see the Governance Resources section Student Participation Protocol>	*Those who are actively **participating** and who have been **consulted**:* • GFC CLE (December 2, 2020) • Statutory Deans' Council (March 3, 2021) • GFC CLE (March 3, 2021) • GFC EXEC (March 8, 2021) • AASUA (March 10, 2021; initial consultation meeting) • Chairs' Council (March 16, 2021) • GFC COSA (March 18, 2021) • GFC (March 22, 2021) • Students' Union (April 14, 2021) • Graduate Students' Association (April 16, 2021) • Centre for Teaching and Learning (CTL) (April 28, 2021) • GFC CLE (April 28, 2021) • Deans Only Deans' Council (May 19, 2021) • Student Groups Town Hall (May 19, 2021) • Instructor Town Hall (June 2, 2021) • GFC COSA (September 9, 2021) • GFC EXEC (September 13, 2021) • Deans Only Deans' Council (September 15, 2021) • Vice-Provosts' Council (September 20, 2021) • GFC (September 20, 2021) • BHRCC (September 28, 2021) • GFC CLE (September 29, 2021) • BLRSEC (October 1, 2021) • Student Town Hall (October 18, 2021) • Student Town Hall (October 19, 2021) • Chairs' Council (October 19, 2021)

	• GFC CLE (October 27, 2021) • Instructor Town Hall (October 27, 2021) • Instructor Town Hall (November 4, 2021) • GFC EXEC (November 15, 2021) • GFC CLE (December 1, 2021) • GFC (~~November 29, 2021~~) (December 6, 2021) • GFC COSA (January 13, 2022)
Approval Route (Governance) (including meeting dates)	1. GFC CLE | Action: For Recommendation (January 26, 2022) 2. GFC EXEC | Placement on the GFC Agenda (February 14, 2022) 3. GFC | Action: For Recommendation (February 28, 2022) 4. BHRCC | Action: For Recommendation I (March 8, 2022) 5. BLRSEC | Action: For Recommendation (March 11, 2022) 6. Board of Governors | Action: For Approval (March 25, 2022)

Strategic Alignment

Alignment with *For the Public Good*	*MISSION: Within a vibrant and supportive learning environment, the University of Alberta discovers, disseminates, and applies new knowledge for the benefit of society through teaching and learning, research and creative activity, community involvement, and partnerships.* *VALUES: We value excellence in teaching, research, and creative activity that enriches learning experiences, advances knowledge, inspires engaged citizenship, and promotes the public good.* *EXCEL as individuals, and together, sustain a culture that fosters and champions distinction and distinctiveness in teaching, learning, research, and service.*	
Alignment with Core Risk Area	Please note below the specific institutional risk(s) this proposal is addressing.	
	☐Enrolment Management ☑ Faculty and Staff ☐Funding and Resource Management ☐IT Services, Software and Hardware ☑ Leadership and Change ☐Physical Infrastructure	☐Relationship with Stakeholders ☑ Reputation ☐Research Enterprise ☐Safety ☑ Student Success
Legislative Compliance and jurisdiction	*Post-Secondary Learning Act*, Section 26(1)o GFC CLE Terms of Reference GFC Policy 111 BLRSEC Terms of Reference – Sections 2(q); 3(e) BHRCC Terms of Reference – Sections 2(z); 3(e)	

Attachments:

1. UAPPOL Teaching, Learning and Evaluation Policy **– for approval** (5 pages)
2. UAPPOL Student Input to the Evaluation of Teaching and Learning Procedure **– for approval** (6 pages)
3. UAPPOL Appendix A_ Current USRI Questions (GFC Policy Manual Section 111.3.E) **– for approval** (3 pages)
4. GFC Policy Manual Section 111. Teaching and Learning and Teaching Evaluation _ University Governance – rescinded by GFC on February 28, 2022, pending approval of TLE policy suite
5. REFERENCES _ Advancing a Teaching, Learning and Evaluation Policy September 2021

Prepared by: John Nychka, Donna Herman, Tyler Kuhnert, Carley Roth

UNIVERSITY OF ALBERTA

January, 2022 FINAL VERSION - as of January 10, 2022

Original Approval Date: **Effective Date:** July 1, 2022

Teaching, Learning and Evaluation Policy

Office of Accountability:	Provost and Vice-President (Academic)
Office of Administrative Responsibility:	Provost and Vice-President (Academic)
Approver:	General Faculties Council and Board of Governors
Scope:	Compliance with this University policy extends to all Academic Staff and Colleagues and Support Staff as outlined and defined in Recruitment Policy (Appendix A and Appendix B: Definitions and Categories) in addition to visiting speakers, professor emeriti, and undergraduate and graduate students.

Overview

A university has at its heart two goals: the creation of knowledge and the dissemination and preservation of knowledge. **Researchers** who create knowledge through exploration and discovery represent, in its broadest sense, the learning component of university life. The dissemination, and preservation of that knowledge is the teaching component. Within a university, what is taught and how it is taught depends upon researchers, and the impact of their research depends upon its communication by **instructors**. This interdependence and integration of research and teaching is what distinguishes a university from other educational institutions. Although the balance between these activities may vary, all members of the university, whether researchers or **students**, are learners who extend the range of their knowledge through exploration and discovery.

As a research-intensive institution, the University of Alberta emphasizes the seamless relationship of research and teaching. More than simply recognizing that what we teach flows from the work of researchers, we are convinced that undergraduate and graduate curriculum development and delivery are best accomplished by dedicated instructors engaged in both teaching and research. We are committed to providing the best and most appropriate environments for student-instructor and student-student interactions.

Within this context, graduate students serve a multifaceted role during their studies: as students, instructors, researchers, mentors, and grant or scholarship holders. The need to strike an appropriate balance among their responsibilities gives graduate students a unique perspective in the university community, especially with respect to teaching.

At the University of Alberta, a wide range of disciplines is professed, various research models followed, and numerous types of teaching are required across its campuses. There is no one teaching model and no one answer to serve all disciplines. Development of new teaching models should emphasize appropriate use, should be derived from within the discipline concerned, and the final arbiter should always be academic excellence.

Purpose

The purpose of this policy is to set out the overarching principles that will apply to teaching and learning and to the evaluation of teaching and learning at the University.

POLICY

A. Framework for Effective Teaching

1. Expertise, Content and Outcomes - what students are expected to learn as well as the expertise that instructors require to facilitate this learning:

    a. the rigour, breadth and depth of content, knowledge, skills, and attitudes that students are expected to learn during a **course** or learning situation; and,
    b. the breadth and depth of an instructor's discipline and/or field of knowledge as well as pedagogical knowledge relevant to the subject matter.

2. Course Design - constructive organization of course objectives, resources, assignments, and assessments:

    a. coherent design of instruction demonstrated through course objectives, syllabus, appropriate pace, and organization;
    b. constructive assessment strategies demonstrated through the alignment of assessments with course objectives; and,
    c. meaningful learning resources and materials that support learning relevant to course goals and are as cost-effective as possible.

3. Instructional Practices - teaching preparation, methods, and approaches to facilitate learning:

    a. facilitation of course delivery demonstrated through instructor preparation, communication of expectations, and provision of feedback;
    b. student-centered instruction and learning activities through the facilitation of instructor-student and student-student interactions;
    c. feedback, mentorship, and supervision practices demonstrated through the suitability and timeliness of feedback, helpful mentorship practices, and constructive student interactions; and,
    d. approaches to facilitating a productive and supportive climate for learning through the use of intentional strategies to create a respectful, equitable, diverse, and inclusive learning environment.

4. Learning Environment - physical and virtual support systems:

    a. suitability of physical and virtual environments and use of education technology;
    b. availability of teaching assistants, accessibility accommodations, and other supports; and,
    c. scheduling of course meeting times and/or online module availability.

5. Reflection, Growth and Leadership:

    a. the extent to which instructors reflect on and improve their own teaching;
    b. seeking of opportunities for development; and,
    c. contributing to the growth of the broader teaching community.

B. Students' Contributions and Expected Outcomes

1. To fully participate in and benefit from the teaching programs at the University, entering students are expected to arrive with a set of attitudes and skills that prepares them for academic study. These will expand and grow through participation in the University community. These attributes/skills include:

    a. motivation to participate in an active learning community that challenges and stimulates intellectual, scholarly, personal, and interpersonal growth;
    b. a willingness to take a major responsibility for one's own learning;
    c. curiosity about the discipline of specialization and the integration of specialized knowledge with other disciplines and in society;
    d. tolerance and appreciation for diversity and multiple viewpoints;
    e. a sense of responsibility and respect for self and other members of the University community;
    f. oral and written competency in English or French, mathematical and reasoning skills, competent use of appropriate information, and communication technologies; and,
    g. respect and adherence to the ethical standards of scholarship including abhorrence of plagiarism, false representation, and cheating.

2. The generic outcomes that should be expected from a program of study at the University are:

    a. critical thinking skills;
    b. communication skills including oral, written, and group work skills;
    c. the ability to learn independently;
    d. an appreciation of potential biases and an understanding of stereotypes about particular identities and groups of people;
    e. the motivation and ability to use personal, creative, and entrepreneurial talents; and,
    f. an informed understanding of, and a desire to participate in, the intellectual, cultural, social, and political life of local, national, and global communities.

3. Specialized outcomes that should be expected from a program of study at the University include:

    a. the ability to synthesize the core content in a disciplinary or professional field of study;
    b. knowledge of some of the "big questions" in the field;
    c. the skills to effectively find, synthesize and apply information in the relevant literature;
    d. knowledge of and the ability to use the investigative and observational methods of the field;
    e. interest in and an excitement for some aspect of the specialized field of study; and,
    f. understanding of the relevance and application of the specialized field of study to everyday life.

C. Principles and Purpose for the Evaluation of Teaching

1. The evaluation of teaching at the University will:

    a. reflect institutional priorities around teaching and learning;
    b. be multifaceted and diverse;
    c. be flexible enough to apply to diverse teaching contexts;
    d. be fair, equitable, and transparent in the collection, use, and interpretation of data;

e. allow for both summative and formative feedback on teaching; and,
f. provide meaningful data across disciplines to instructors, students, and administrators.

2. At the University, evaluation of teaching may serve several purposes:

   a. to provide formative data used by instructors to identify teaching strengths and weaknesses and, in doing so, giving guidance for the improvement or refinement of teaching skills, expertise, and scholarship, and to improve the students' learning experience;
   b. to provide summative evaluation as a review and overview of an instructor's teaching that is an essential element in merit, promotion, and tenure decisions;
   c. to provide information on courses and teaching to students; and,
   d. to provide information for review of programs and curricula.

D. Multifaceted Evaluation of Teaching and Learning

1. Evidence to support a multifaceted approach to the evaluation of teaching will include feedback from students about their perspectives on their experience of teaching through surveys and commentary;

2. The evaluation of teaching will take into account factors such as:

   a. size, scheduling and delivery mode of the class;
   b. the Faculty and program in which the course is developed;
   c. whether the course is within a program with accreditation requirements;
   d. whether the course is required versus optional in relation to the student's program;
   e. whether the course is academically demanding; i.e. difficult and/or heavy content;
   f. whether the course includes laboratory, practicum and/or clinical contexts; and
   g. student GPA and grade expectations.

3. Factors, which are outside of an instructor's control and will not be considered in the evaluation of teaching include, but are not limited to:

   a. age of both students and instructors; and,
   b. perceived race, gender, religion, ability, sexual orientation, and/or ethnicity of the instructor.

4. Further evidence to support a multi-faceted approach to the evaluation of teaching and learning may include, but is not limited to:

   a. instructor self assessment, captured in a teaching dossier or portfolio;
   b. the use of available survey tools including, but not limited to, instructors assessing students, instructors assessing peers, instructors assessing themselves, and/or students assessing themselves;
   c. instructor development through courses/conferences, and scholarly and service activities;
   d. trained peer or expert assessment; and,
   e. teaching awards and honours.

DEFINITIONS

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

Researchers	Includes all members of the University who are involved, directly or indirectly, to any extent whatsoever, in research and other scholarly and creative activities.
Students	All learners including undergraduate and graduate students in full-time and part-time degree programs; students in open studies, fresh start program, transition year; international visiting and exchange and study abroad students; postgraduate medical/dental education students; and PDF trainees.
Instructors	Includes Academic Faculty, Faculty Service Officers, Librarians, Academic Teaching Staff and Excluded Academic Administrators. When their responsibilities include teaching, also includes Academic Colleagues, Postdoctoral Fellows and Graduate Students.
Course	Includes undergraduate and graduate courses, laboratory courses, non-degree courses, seminars, clinical supervision courses, and reading or directed study courses.

RELATED LINKS

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

FGSR Adjunct Academic Appointment and Graduate Student Supervision Policy

PUBLISHED PROCEDURES OF THIS POLICY

Student Input to the Evaluation of Teaching and Learning Procedure

Appendix A - Student Perspectives of Teaching (SPOT) Questions

UNIVERSITY OF ALBERTA

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

February, 2022 FINAL VERSION - as of February 28, 2022

Original Approval Date: **Effective Date: July 1, 2022**

Parent Policy: **Teaching, Learning and Evaluation Policy**

Student Input to the Evaluation of Teaching and Learning Procedure

Office of Administrative Responsibility:	Provost and Vice-President (Academic)
Approver:	Provost and Vice-President (Academic) and GFC Committee on the Learning Environment (CLE)
Scope:	Compliance with this University policy extends to all Academic Staff and Colleagues and Support Staff as outlined and defined in Recruitment Policy (Appendix A and Appendix B: Definitions and Categories) in addition to visiting speakers, professor emeriti, and undergraduate and graduate students.

Overview

Evaluation of teaching and learning at the University of Alberta will be multifaceted. Evidence to support a multifaceted approach to the evaluation of teaching and learning will include input from students on **courses, instructors,** and the **learning environment** through surveys and commentary.

Student input will be received through a standardized University survey approved by General Faculties Council that will be designed to obtain the students' perspectives on their experiences of teaching. Additional input may be received through customized surveys designed by the University, individual instructors, Departments,and/ or Faculties.

Purpose

The following establishes the procedures for the collection and appropriate dissemination of student input to the multifaceted evaluation of teaching and learning at the University.

PROCEDURE

1. Student contributions to the evaluation of teaching and learning at the University will be obtained through the following systems administered electronically by the University's Test Scoring & Questionnaire Services unit (TSQS):

    a. The University course survey system, known as the Student Perspectives of Teaching (SPOT), that will be comprised of:

        i. A set of standard questions as determined by the Committee on the Learning Environment and published in the Teaching and Learning Evaluation Policy (Appendix A) SPOT Questions; and,

        ii. For each standard question, a text field to allow students to provide focused, written comments to explain their selection.

b. Within the SPOT system, there will be a set of standard questions as determined by the Committee on the Learning Environment to obtain input from those students who have withdrawn from the course.

c. Within the SPOT system, Instructors, Departments and/or Faculties are strongly encouraged to supplement these standard questions with customized questions of their own choosing.

d. Utilizing the systems administered by TSQS, Instructors, Departments and/or Faculties may supplement the SPOT survey with additional surveys using questions designed or chosen from available TSQS option:

i. Midterm Course and Instruction Feedback Survey (midterm survey) that allows for customized forms seeking midterm course and instructional feedback from students; and/or,

ii. Additional customized surveys as appropriate.

2. The SPOT survey will use the following 5 response categories:

a. I strongly disagree (SD);
b. I disagree (D);
c. I neither agree nor disagree (N);
d. I agree (A); and
e. I strongly agree (SA).

3. The SPOT survey will be used each time that a course is offered, but will be modified in the following circumstances:

a. When there are multiple instructors;
b. When there are fewer than 10 registered students; or,
c. When there is an individual/independent nature such as independent study courses, special research projects, the culminating exercise for a program, music studios, etc.

4. Courses with multiple instructors will use a modified set of SPOT survey questions that will include:

a. One set of questions related to course design and instructional practice for the entire course; and,
b. One set of questions related to each instructor who has taught the equivalent of 20% or more of the course. If no instructor is responsible for at least 20% of the course, only entire course-related questions will be used on the survey.

5. Methods of obtaining student input for courses with fewer than 10 registered students may include, but are not limited to:

a. The use of surveys with non-scored questions, such as:
   i. Which aspects of the course do you like the best?
   ii. Which aspects of the course do you like the least?
   iii. How can I (the instructor) improve the teaching of this course?
b. Combinations of several courses with fewer than 10 registered students taught by the same instructor and/or courses in one classroom but with multiple section numbers taught by the same instructor;
c. Interviews of students by the Chair or delegate; and,
d. Interviews of the instructor by the Chair or a delegate.

6. Subject to section 8 below, the anonymity of student responses in the SPOT survey is of fundamental importance in maintaining student confidentiality and encouraging the free expression of views in accordance with the University's Statement on Freedom of Expression.

7. In order to maintain anonymity, TSQS ensures that:

a. Students cannot be identified through the survey methods unless they self-identify;
b. ID/usernames are not included on the survey results; and,
c. Students must log in for verification that they have taken, partially taken or not taken some or all of the survey, and answers are completely separate from this verification.

8. Under normal circumstances, the anonymity of students will be protected. The SPOT and optional midterm and other surveys offer avenues of feedback, including that which may be critical of instructors. A potential feature of criticism may be comments that could be perceived as offensive and/or unjustified. Such comments would not justify a departure from the normal rules pertaining to confidentiality and anonymity.

   However, the University has a parallel duty to protect the safety (physical or mental) of members of the University community. If a Department Chair, or Associate Dean, has concerns for the safety of instructors, staff or students, arising from statements that are part of SPOT or the optional survey responses, they will consult with the Dean of the Faculty. If the Dean believes that there is a valid concern for safety, they may recommend to the Provost and Vice-President (Academic) that the identity of the author of the statements be sought out and disclosed to the appropriate University officials. At any time during this process, the Chair or Dean may invoke:

   - Procedures within the Code of Student Behaviour (the Code) and/or,
   - The Protocol for Urgent Cases of Disruptive, Threatening or Violent Conduct.(the Protocol)

   On receiving such a request from a Dean, the Provost will follow the terms of the Code and/or the Protocol in determining whether there is: i.) reasonable cause to believe that the safety or security (including significant psychological harm) of persons may be threatened and ii.) that under existing University policies, the statements are grounds for disciplinary action and hence whether the confidentiality of SPOT or the optional survey responses should be breached and the provisions of the Code and/or the Protocol invoked.

   If the identity of the author is disclosed, the Provost will notify the author of the statements. The Provost will also notify any individuals mentioned in the statements. Timelines will be determined following the assessment of the nature of the statements and the potential threat, immediate or otherwise, to the individuals involved.

9. Communications to inform and encourage completion of the SPOT, withdrawn students, and optional surveys will include statements as illustrated below:

   1. *YOUR VOICE MATTERS - For this survey to be as comprehensive as possible, the University of Alberta would appreciate receiving your input. The results are used as one component of a multi-faceted approach to the evaluation of teaching and learning, therefore, they contribute to your instructor's self-reflection and evaluation. They also help initiate change in curriculum and instruction.*

   2. *CIVILITY AND RESPECT - These are shared norms in our work and learning environment and we encourage a healthy exchange of ideas and perspectives. Feedback should be provided in a manner that reflects our commitment to collegiality and inclusivity, while acknowledging that we all have unique and particular needs within this environment.*

   3. *BIAS AWARENESS - Please be aware of biases that you may hold and make an effort to resist stereotypes about particular identities and groups of people (related to perceived race, gender, age, religion, ability, sexual orientation, and/or ethnicity of the instructor).*

   4. *WHAT WE WANT TO HEAR - Please provide specific feedback on your experience in the comment section as appropriate for each question. The most helpful feedback is actionable, thoughtful, and concrete. Focus on your experiences with assignments, textbooks, and other instructional materials and not on personal characteristics such as the course instructor's appearance or speaking style.*

   5. *ANONYMITY - The survey will be accessible only by CCID and students' anonymity will be protected. Summary results will be made available to instructors only after grades are finalized. If you are concerned about the anonymity of any typwritten comments, those may be provided directly to the Chair, Director or Dean noting the course number, section and name of the instructor. Please be aware, however, that the University may be required to intervene based upon assessment of potentially threatening or harmful comments.*

6. *ABOUT THE RESULTS - The numerical SPOT Report for the standard questions listed below will be available to you as well as the Students' Union and the Graduate Students' Association for the sole purpose of providing information for future course selections.*

7. *QUESTIONS - Should be addressed to students@ualberta.ca.*

10. Access to the SPOT survey and the withdrawn students survey, along with any supplemental instructor and/or Department/Faculty questions will normally be available beginning two weeks prior to the last day of classes until 2 days past the last day of classes providing there are no final examinations scheduled in this 2-day period.

11. The instructor will provide at least 15 minutes of class time for completion of the SPOT survey during the 2-week period prior to the last day of classes, and:

    a. Will not be present during the provided class time.

12. Methods to increase the response rates of the SPOT survey may include, but are not limited to, the following:

    a. Internal communications from Deans and Chairs to Instructors and Students in addition to the University communications;
    b. Instructors may Include the completion of the SPOT survey as a course activity or objective;
    c. Instructors may inform students of the formative nature of their perspectives on teaching by:
        i. Discussing the importance of student input; and by
        ii. Providing examples to students of how they have responded to previous student input.

13. SPOT survey results are compiled using Tukey's box-and-whisker plot analysis (John W. Tukey, Exploratory Data Analysis, Addison-Wesley Publishing Company, Inc. 1977) and statistical treatments are chosen to achieve two main objectives:

    a. To summarize skewed distributions of data; and,
    b. To identify outliers from the general population, if they exist.

14. The SPOT Survey Report consists of one page generated for each course from which students' surveys have been collected and contains:

    a. The text of each question;
    b. For each question, the number of student responses in each of the 5 categories, presented in a table and graphical format;
    c. The median of the responses to one decimal point for the question; and,
    d. Numerical values (reference data) from Tukey's box-and-whisker statistics to describe the distribution of scores in the Faculty/Department, including the:
        i. lower cut-off for outlier scores;
        ii. lower hinge (25th percentile);
        iii. median; and,
        iv. upper hinge (75th percentile).

15. Distribution of the SPOT Survey Results:

Who Receives[1] ⇒ **What/When Received** ⇓	**Dean & Director or Chair (and delegates)**	**Instructor** [2]	**Students Registered in the Course Students' Union** [3] **Graduate Students' Association** [2]	**Faculty Evaluation Committee, Academic Teaching Staff Evaluation Committee & GFC Secretary**
SPOT Survey Report	yes	yes	yes	yes

and Withdrawn Students Survey Report	Within 20 working days of course completion	Within 20 working days of course completion, once the Dean, Director or Chair has signed the grade sheet	At least 10 days after the date that the instructor has received	In accordance with Faculty FEC timelines and upon request by GFC Secretary
SPOT Survey Comments	yes	yes	no	yes
Supplemental Department/Faculty Questions & Comments	yes	yes	no	no
Supplemental Instructor Questions & Comments	no, unless provided by instructor	yes	no	no, unless provided by instructor
Midterm Instructor Questions & Comments	no, unless provided by instructor	yes	no	no, unless provided by instructor

(1) Survey Results are included for all courses taught by the Instructor, whether the course was taught within the home Faculty or in another Faculty or Department.
(2) Instructors may check the response rate during the 2-week SPOT survey period, by logging into the SPOT system and their homepage will provide a status overview and the current response rates for their courses.
(3) Access to online SPOT survey data is provided to the SU and the GSA only for the purpose of assisting with the selection of courses. Neither the SU or the GSA will undertake analysis of SPOT data available to members of those organizations.

17. The SPOT survey results will include the following statement:

Student surveys are an important part of providing feedback about their perspectives of teaching, but cannot be taken in isolation as a complete evaluation of a course or instructor. Factors outside of an instructor's control may influence the results. These factors include, but are not limited to:

a. *completion rate of the survey;*
b. *class size, class level, the Faculty and program in which the course is developed, timing of the class, delivery mode, required versus optional course, accredited program requirements, practicum or clinical contexts, grade expectations, student GPA, age of both students and instructors; and,*
c. *perceived race, gender, age, religion, ability, sexual orientation, and/or ethnicity of the instructor.*

Small differences in results should not be considered meaningful. Results will be interpreted using the defined scale: 1=Strongly Disagree (SD); 2=Disagree (D); 3=Neither Agree nor Disagree (N); 4=Agree (A); and, 5=Strongly Agree (SA).

DEFINITIONS

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

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

Instructors	Includes Academic Faculty, Faculty Service Officers, Academic Teaching Staff and Excluded Academic Administrators. When their responsibilities include teaching, also includes Academic Colleagues, Postdoctoral Fellows and Graduate Students.
Course	Includes undergraduate and graduate courses, laboratory courses, non-degree courses, seminars, clinical supervision courses, and reading or directed study courses.
Learning Environment	Physical and virtual support systems: a. suitability of physical and virtual environments and use of education technology; b. availability of teaching assistants, accessibility accommodations and other supports; and, c. scheduling of course meeting times and/or online module availability.

FORMS

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

No Forms for this Procedure.

If this section is used, list hyperlinks to all forms for this procedure in alphabetical order.

RELATED LINKS

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

List any related links in alphabetical order. Try to link to lead sites that will remain current (eg: the Government of Alberta's Queen's Printer main page).

Related Links for this Procedure are within the document.

UNIVERSITY OF ALBERTA

February, 2022 FINAL VERSION - as of February 28, 2022

Original Approval Date: **Effective Date:** July 1, 2022

Teaching, Learning and Evaluation Policy
Appendix A: Student Perspectives of Teaching (SPOT) Survey

Office of Accountability:	Provost and Vice-President (Academic)
Office of Administrative Responsibility:	Provost and Vice-President (Academic)
Approver:	GFC Committee on the Learning Environment

NOTE: THIS IS A TRANSITORY VERSION UTILIZING THE APPROVED AND IN USE GFC POLICY MANUAL SECTION 111.3, USRI QUESTIONS WITH UPDATED RESPONSES AND COMMENT SECTIONS. THESE WILL BE REPLACED BY A VALIDATED SURVEY INSTRUMENT LATER IN THE 2022 CALENDAR YEAR.

YOUR VOICE MATTERS - For this survey to be as comprehensive as possible, the University of Alberta would appreciate receiving your input. The results are used as one component of a multi-faceted approach to the evaluation of teaching and learning, therefore, they contribute to your instructor's self-reflection and evaluation. They also help initiate change in curriculum and instruction.

CIVILITY AND RESPECT - These are shared norms in our work and learning environment and we encourage a healthy exchange of ideas and perspectives. Feedback should be provided in a manner that reflects our commitment to collegiality and inclusivity, while acknowledging that we all have unique and particular needs within this environment.

BIAS AWARENESS - Please be aware of biases that you may hold and make an effort to resist stereotypes about particular identities and groups of people (related to perceived race, gender, age, religion, ability, sexual orientation, and/or ethnicity of the instructor).

WHAT WE WANT TO HEAR - Please provide specific feedback on your experience in the comment section as appropriate for each question. The most helpful feedback is actionable, thoughtful, and concrete. Focus on your experiences with term work, course resources, and other instructional materials and not on personal characteristics such as the course instructor's appearance or speaking style.

ANONYMITY - The survey will be accessible only by CCID and students' anonymity will be protected. Summary results will be made available to instructors only after grades are finalized. If you are concerned about the anonymity of any typwritten comments, those may be provided directly to the Chair, Director or Dean noting the course number, section and name of the instructor. Please be aware, however, that the University may be required to intervene based upon assessment of potentially threatening or harmful comments.

ABOUT THE RESULTS - The numerical SPOT Report for the standard questions listed below will be available to you as well as the Students' Union and the Graduate Students' Association for the sole purpose of providing information for future course selections.

QUESTIONS - Should be addressed to students@ualberta.ca.

---

1) The goals and objectives of the course were clear.
- I strongly disagree (SD)
- I disagree (D)
- I neither agree nor disagree (N)
- I agree (A)
- I strongly agree (SA)

Comment (optional): [character max]

2) In-class time was used effectively.
- I strongly disagree (SD)
- I disagree (D)
- I neither agree nor disagree (N)
- I agree (A)
- I strongly agree (SA)

Comment (optional): [character max]

3) I am motivated to learn more about these subject areas.
- I strongly disagree (SD)
- I disagree (D)
- I neither agree nor disagree (N)
- I agree (A)
- I strongly agree (SA)

Comment (optional): [character max]

4) I increased my knowledge of the subject areas in this course.
- I strongly disagree (SD)
- I disagree (D)
- I neither agree nor disagree (N)
- I agree (A)
- I strongly agree (SA)

Comment (optional): [character max]

5) Overall the quality of the course content was excellent.
- I strongly disagree (SD)
- I disagree (D)
- I neither agree nor disagree (N)
- I agree (A)
- I strongly agree (SA)

Comment (optional): [character max]

6) The instructor spoke clearly.
- I strongly disagree (SD)
- I disagree (D)
- I neither agree nor disagree (N)
- I agree (A)
- I strongly agree (SA)

Comment (optional): [character max]

7) The instructor was well prepared.
- I strongly disagree (SD)
- I disagree (D)
- I neither agree nor disagree (N)
- I agree (A)
- I strongly agree (SA)

Comment (optional): [character max]

8) The instructor treated the students with respect.
- I strongly disagree (SD)
- I disagree (D)

- I neither agree nor disagree (N)
- I agree (A)
- I strongly agree (SA)

Comment (optional): [character max]

9) The instructor provided constructive feedback throughout this course.

- I strongly disagree (SD)
- I disagree (D)
- I neither agree nor disagree (N)
- I agree (A)
- I strongly agree (SA)

Comment (optional): [character max]

10) Overall, this instructor was excellent.

- I strongly disagree (SD)
- I disagree (D)
- I neither agree nor disagree (N)
- I agree (A)
- I strongly agree (SA)

Comment (optional): [character max]

DEFINITIONS

Any definitions listed in the following table apply to this document only with no implied or intended institution-wide use. **[▲Top]**	
Students	All learners including undergraduate and graduate students in full-time and part-time degree programs; students in open studies, fresh start program, transition year; international visiting and exchange and study abroad students; postgraduate medical/dental education students; and PDF trainees.
Instructors	Includes Academic Faculty, Faculty Service Officers, Librarians, Academic Teaching Staff and Excluded Academic Administrators. When their responsibilities include teaching, also includes Academic Colleagues, Postdoctoral Fellows and Graduate Students.
Course	Includes undergraduate and graduate courses, laboratory courses, non-degree courses, seminars, clinical supervision courses, and reading or directed study courses.

RELATED LINKS

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Item No. 3g

Governance Executive Summary
Action Item

Agenda Title	**University Funds Investment Policy**

Motion

THAT the Board of Governors, on the recommendation of the Board Investment Committee, approve the revised University Funds Investment Policy, as set forth in Attachment 1.

Item

Action Requested	☒ Approval ☐ Recommendation
Proposed by	Derek Brodersen, Chair, Board Investment Committee
Presenter(s)	Derek Brodersen, Chair, Board Investment Committee

Details

Office of Administrative Responsibility	Vice-President (University Services and Finance)
The Purpose of the Proposal is (*please be specific*)	In accordance with the Board Investment Committee's Terms of Reference, the Committee assists the Board of Governors with its policy setting responsibilities by annually reviewing the University Funds Investment Policy and recommending changes when required.
Executive Summary (*outline the specific item – and remember your audience*)	The recommended policy changes that relate to the University Endowment Pool (UEP) are mainly editorial in nature. The maximum allocation to public equity is being reduced to better reflect how the fund is invested and in particular the continued implementation of the private markets program, as contemplated by the policy changes that were approved by the Board in March 2021. Corresponding changes are being proposed to the UEP benchmark effective April 1, 2022. For the Non-Endowed Investment Pool (NEIP), the majority of the proposed policy changes bring those sections to the same standard and level of detail as is presently in place for the UEP. NEIP assets are invested across the following three strategic classifications based on their primary roles in the portfolio, Liquidity, Yield and Return Seeking. It is recommended that the target allocation to the NEIP's Liquidity strategy be reduced from 35% to 20%, and that the target allocations to Yield and Return Seeking be increased by 5% and 10% respectively. The NEIP has nearly doubled in size from when the current policy target allocations to these three strategies were established. This growth from $800 million to almost $1.5 billion, when combined with the percentage based policy, has resulted in a larger allocation to the Liquidity strategy in dollar terms than contemplated or required. Over this time period, the University's cash flow requirements have not changed significantly. In dollar terms, 20% of $1.5 billion ($300 million) represents a slight increase over 35% of $800 million ($280 million). It is also recommended that the asset allocation section for the NEIP now contain target allocations, with minimums and maximums, for each of the underlying asset classes in the Yield strategy. The recently completed asset allocation study for this strategy concluded that small allocations to real estate/infrastructure and insurance linked securities could modestly

	enhance returns while maintaining the same overall level or risk, but that the existing asset allocation be retained for the time being. These asset classes have been included in the policy, but with zero percent target weights.
Supplementary Notes and context	*None*

Engagement and Routing (Include meeting dates)

Consultation and Stakeholder Participation (parties who have seen the proposal and in what capacity) <For information on the protocol see the Governance Resources section Student Participation Protocol>	*Those who are actively **participating**:* • Investments and Treasury, Financial Services • Associate Vice-President Finance, Procurement and Planning • Vice-President (University Services and Finance) • Board Investment Committee
	*Those who have been **consulted**:* • Associate Vice-President Finance, Procurement and Planning • Vice-President (University Services and Finance) • Board Investment Committee
	*Those who have been **informed**:* • Associate Vice-President Finance, Procurement and Planning • Vice-President (University Services and Finance) • Board Investment Committee
Approval Route (Governance) (including meeting dates)	Board Investment Committee – March 10, 2022 - recommendation Board of Governors – March 25, 2022 - approval

Strategic Alignment

Alignment with *For the Public Good*	Excel and Sustain.	
Alignment with Core Risk Area	Please note below the specific institutional risk(s) this proposal is addressing.	
	☐ Enrolment Management ☐ Faculty and Staff ☒ Funding and Resource Management ☐ IT Services, Software and Hardware ☐ Leadership and Change ☐ Physical Infrastructure	☐ Relationship with Stakeholders ☐ Reputation ☐ Research Enterprise ☐ Safety ☐ Student Success
Legislative Compliance and jurisdiction	PSLA, Banking and Investment (Section 75) PSLA, Pooled trust fund (Section 76) BIC Terms of Reference	

Attachments:

1. University Funds Investment Policy – Final – March 2022 (11 pages)
2. University Funds Investment Policy – Track Changes – March 2022 (11 pages)

Prepared by: Ron Ritter, Director, Investments and Treasury, ron.ritter@ualberta.ca

University Funds Investment Policy

Office of Accountability:	Vice President (Finance & Administration)
Office of Administrative Responsibility:	Financial Services
Approver:	Board of Governors
Scope:	Compliance with University policy extends to all members of the University community.

Purpose

The *Post-Secondary Learning Act*, Statutes of Alberta, (2003), Sections 75 and 76, provides The Governors of the University of Alberta with broad investment powers, the authority to pool funds and the authority to distribute income, subject to the terms of a trust on which it may be held. The purpose of this investment policy is to establish distinct asset allocation and risk tolerances for each of the University funds according to the individual fund's spending obligations, objectives, and liquidity requirements.

POLICY

1.0 DESCRIPTION OF UNIVERSITY FUNDS AND GOVERNANCE

The Board of Governors has delegated investment oversight to the Board Investment Committee as documented in the Board Investment Committee's Terms of Reference. The Board of Governors has retained responsibility for the following matters (as outlined in this document):

- The University Funds Investment Policy, which shall include the establishment of broad risk tolerances, strategic asset allocation, and responsible investment.
- The investment objectives and the University Endowment Pool Spending Policy of the University.

The University Funds Investment Policy is subject to annual review by the Board Investment Committee and any recommended changes require approval by the Board of Governors. Management's investment decisions are subject to the overall direction of the Board Investment Committee as reflected in this policy.

The Board Investment Committee's role is to approve the Strategic Role Investment Guidelines (SRIGs). Management has responsibility to select, retain, monitor and dismiss investment managers in accordance with the approved Strategic Role Investment Guidelines. Funds are allocated to external managers or, when determined to be advantageous, may be managed internally.

Each investment manager shall adhere to this policy and must exercise the care, skill, diligence and judgment that a prudent investor would exercise in making investments. This includes the assessment of environmental, social and governance (ESG) risks and opportunities. Investment managers are expected to be in compliance with all applicable laws and regulations as well as the Code of Ethics and Standards of Professional Conduct established by the CFA Institute.

1.1 University Endowment Pool (UEP)

The UEP consists of the University's endowed trust funds or other funds of a permanent or long-term nature. In addition to the primary pools of capital, external funds may be invested in the UEP including funds of affiliated organizations and funds where the University is a beneficiary.

1.2 Other Endowments

Other endowments consist of endowed trust funds, including those managed by students as part of an academic program , which cannot be pooled for investment purposes because of constraints or conditions attached to the funds.

1.3 Non-Endowed Investment Pool (NEIP)

The NEIP consists of expendable funds, which are pooled for investment purposes.

1.4 Other Non-Endowed Funds

Other non-endowed funds consist of restricted non-endowed donations and the funds earmarked for the Supplementary Retirement Plans, which cannot be pooled for investment purposes because of constraints or conditions attached to the funds. Funds that fall into this category also include shares in companies received as a form of compensation for licensing a University-created technology.

2.0 UNIVERSITY ENDOWMENT POOL (UEP)

2.1 Purpose

The UEP represents the pooling of invested assets accumulated by or donated to the University for endowed purposes. The UEP's purpose is to foster an environment of academic excellence where superior teaching, learning, and research can be continuously pursued to benefit all generations equally over time.

2.2 Nature of UEP Liabilities (Spending Policy)

The UEP provides funding to the faculties and departments of the University to be used for endowed purposes in accordance with the terms of each endowment. The objective is an appropriate and stable spending allocation that maintains its purchasing power over time, as outlined in the University Endowment Pool Spending Policy. This policy may be amended from time to time by the Board of Governors to ensure that the real value of the endowments (i.e., net of inflation) is maintained.

3.0 INVESTMENT OBJECTIVES OF THE UEP

3.1 Return and Risk

The principal investment objective of the UEP is to earn a long-term real rate of return that meets or exceeds total endowment spending as outlined in the UEP Spending Policy.

At the core of this approach is a focus on Intergenerational equity which requires that the UEP be managed to provide a comparable level of support to future generations as current beneficiaries receive. This means that the value of the UEP should be preserved over time in real dollar terms in order to maintain the future purchasing power of assets. In setting the spending and investment policies for the UEP, the focus should be not just to preserve but to grow the real value of assets over time, as a margin of safety is required to maintain a stable level of support for endowed purposes across varying capital market and economic conditions.

Assets are allocated across four strategic classifications based on their primary role in the portfolio, which includes Growth, Inflation Sensitive, Deflation Hedging, and Diversifiers. In order to achieve its investment objectives, the UEP will have to maintain a majority weighting in Growth assets and less liquid investment strategies. This is based on projected capital market assumptions which indicate that over long periods of time, these assets can be expected to provide returns that exceed total endowment spending. Deflation Hedging strategies are expected to help provide protection in times of equity market stress and support spending in a prolonged deflationary period. Conversely, Inflation Sensitive assets are expected to protect the UEP from high or unanticipated inflation, while Diversifiers consist of investment strategies that are expected to provide uncorrelated returns to the other three classifications.

There are many types of risk that impact investment performance, including but not limited to capital markets, economic, environmental, governance, interest rates, liquidity, political, and social. Risks will be monitored through the use of quantitative and qualitative indicators and managed where appropriate via asset allocation, active management, derivatives and other strategies.

3.2 Asset Allocation

The strategic asset allocation is determined by the following four factors:

- Objective of a real rate of return that equals or exceeds the total rate of spending
- Long-term return, volatility, and correlation expectations for individual asset classes
- Diversification across asset classes and investment strategies
- Projected liquidity requirements of the UEP

The theoretically infinite time horizon of the UEP allows for the adoption of a strategic asset allocation policy with a high allocation to Growth assets along the following parameters:

Strategic Asset Allocation

	Minimum	Target	Maximum
Growth	50%	60%	70%
Inflation Sensitive	15%	20%	25%
Deflation Hedging	0%	5%	10%
Diversifiers	10%	15%	20%
Total		100%	

To achieve diversification the UEP will invest in the following asset classes:

Growth			
	Minimum	Target	Maximum
Public Equity	30%	40%	60%*
Private Markets	5%	20%	25%
		60%	
Inflation-Sensitive			
Real Estate & Infrastructure	5%	10%	15%
Real Assets	5%	10%	15%
		20%	
Deflation Hedging			
Global Government Bonds	0%	5%	10%
		5%	
Diversifiers			
Absolute Return	10%	15%	20%
Cash	-5%	0%	5%
		15%	

* The higher maximum allocation to Public Equity is required to allow for a transition from the current asset allocation to the strategic asset allocation, after which the maximum allocation will be reduced to 50%.

3.3 Categories of Investments

Strategic Role Investment Guidelines shall be classified in accordance with the following general categories in the context of overall fund objectives and the strategic asset allocation described above.

3.3.1 Growth

Growth assets include marketable equity securities, directional long/short equity hedge funds, and credit based fixed income strategies. Private investments include private debt, private equity, and venture capital.

3.3.2 Inflation Sensitive

Inflation sensitive assets include inflation linked bonds, real estate, infrastructure, timberland, farmland, natural resource public equities, commodities, and energy and renewable resources.

3.3.3 Deflation Hedging

Deflation hedging assets include high quality sovereign fixed income securities.

3.3.4 Diversifiers

Diversifiers include cash and cash equivalents, active currency management, and liquid alternatives including but not limited to strategies such as relative value, market neutral, event driven, merger arbitrage, trend following, volatility arbitrage, systematic/discretionary global macro, and tail hedging.

3.4 Rate of Return Goals

In order of priority, it is expected that the UEP will achieve over any 4-year rolling period:

- An annualized real return that meets or exceeds total endowment spending.
- An annualized return, in excess of the following benchmark. The current benchmark will be modified towards the target benchmark as the strategic asset allocation is implemented.

UEP Policy Benchmark (Effective April 1, 2022)	Target
MSCI ACWI IMI	50%
MSCI ACWI IMI + 3% (3 month lag)	10%
IPD/Realpac Global Property Index	10%
S&P Global Natural Resources Index	10%
FTSE Canada Federal Bond Index	5%
LIBOR + 6%	15%
	100%

4.0 OTHER ENDOWMENTS

Other Endowments are invested with the same goals, restrictions and quality levels as described above, subject to any stipulation required by contractual agreement, or by condition of the estate, or administrative arrangement.

5.0 NON-ENDOWED INVESTMENT POOL (NEIP)

5.1 Purpose

The NEIP consists of expendable funding that is pooled for investment purposes. The purpose of the NEIP is to provide both liquidity for the University's daily operations and the potential for return enhancement to support strategic initiatives. After determining the cash requirements to meet the

University's obligations, it is projected that there will be funds available that may be invested with a longer time horizon than one year, and with less than immediate liquidity.

5.2 Return and Risk

The principal investment objective of the NEIP is to generate income for the University across all strategic classifications. Assets are allocated across three strategic classifications based on their primary roles in the portfolio, which includes Liquidity, Yield and Return Seeking. The Liquidity strategy meets the University's short-term cash flow needs, and has a weighting that takes into account the seasonality of revenues. In order to enhance returns the Yield strategy takes on additional duration, credit and illiquidity across a highly diversified group of rates based asset classes. The Return Seeking strategy has a long-term focus and is invested in the UEP, and is not expected to be required for cash flow management purposes. The allocations to the Yield and Return Seeking strategies are balanced for risk management and return diversification purposes.

There are many types of risk that impact investment performance, including but not limited to capital markets, economic, environmental, governance, interest rates, liquidity, political, and social. Risks will be monitored through the use of quantitative and qualitative indicators and managed where appropriate via asset allocation, active management, derivatives and other strategies.

5.3 Asset Allocation

The strategic asset allocation is determined by the following factors:

- Cash flow requirements to meet the University's financial obligations
- Capital preservation objective
- Diversification to reduce volatility of Investment Earnings
- Income generation to support budgeted investment income and future strategic initiatives

Given the short and long-term objectives of the NEIP, the strategic asset allocation is aligned into the following time horizons:

Strategic Asset Allocation

	Minimum	Target	Maximum
Liquidity	15%	20%	40%
Yield	35%	40%	45%
Return Seeking	35%	40%	45%

To achieve diversification within the Yield strategy, the NEIP will invest in the following asset groups and classes:

Fixed Income			
	Minimum	Target	Maximum
Global Fixed Income (public)	20%	30%	40%
Private Credit	10%	20%	30%
Internally-managed (Canadian bonds)	0%	0%	10%
	30%	50%	70%
Preferred Shares			
Preferred Shares	0%	10%	20%
	0%	10%	20%
Real Property			
Commercial Mortgages and Mortgage Backed Securities	0%**	20%	30%
Real Estate & Infrastructure	0%	0%	10%
	0%	20%	30%
Diversifiers			
Absolute Return Strategies	10%	20%	30%
Insurance Linked Securities	0%	0%	10%
	10%	20%	30%
Internally-managed (loans)			
Internally-managed (loans)	0%	0%	20%*
	0%	0%	20%
Total Yield		100%	

* The Internal Loan Policy limits total Internal Loans to 20% of the Yield portfolio.

** The lower minimum allocation to Commercial Mortgages and Mortgage Backed Securities is required to allow for transition from the current asset allocation to the strategic asset allocation, after which the minimum will be increased to 10%.

5.4 Categories of Investments

Strategic Role Investment Guidelines shall be classified within the following categories:

5.4.1 Liquidity

Assets in the liquidity category include cash, government bills or notes, bank deposits or obligations, and corporate money market securities. All Liquidity investments will have a maturity profile of one year or less.

5.4.2 Yield

The Yield strategy is broken down into the following asset groups:

5.4.2.1 Fixed Income

Fixed income provides greater security of capital than equities, and more stable income flows over the long-term. These assets will include global government, corporate, and securitized fixed income securities, bank loans and private credit.

5.4.2.2 Preferred Shares

Preferred shares have both equity and fixed income characteristics, can provide consistent income and diversification benefits in times of rising interest rates.

5.4.2.3 Real Property

Real property backed investments include asset classes that over longer time horizons can offer stable income streams, and are often structured to provide protection against inflation. Real Property assets includes commercial mortgages, mortgage backed securities, real estate, and infrastructure.

5.4.2.4 Diversifiers

Diversifiers are investment strategies that lower overall portfolio risk. Absolute return strategies include but are not limited to, multi-asset strategies that aim to generate positive returns in all stages of the economic cycle. Insurance linked securities generate returns that are completely uncorrelated to capital markets.

5.4.2.5 Internal Loans

Internal loans include loans to University of Alberta Properties Trust Inc., University faculties, departments and staff. Loans to University of Alberta Properties Trust Inc. will be at prevailing commercial terms and conditions. The Internal Loan Policy approved by the Board of Governors governs internal loans.

5.4.3 Return Seeking

All return seeking funds are invested in the UEP with the objective of earning a higher long-term rate of return, and are managed in accordance with Sections 2 through 4 of this policy.

5.5 Budget Considerations and Risk Management

All realized NEIP Investment Earnings not required for current budget purposes will be reinvested to build an investment income reserve. Appropriations from this investment income reserve can be made in a fiscal year when realized NEIP Investment Earnings are less than budgeted. Appropriations from this investment income reserve to the strategic initiatives fund can only be made when total market value of Yield and Return Seeking exceeds the underlying obligation (investment cost) by a factor of 1.17x.

5.6 Performance Benchmarks

For each component of the NEIP the benchmark is:

	NEIP Policy Benchmark (effective April 1, 2022)	Target
Liquidity	FTSE Canada 91 Day T-Bill Index	20%
Yield	Canadian Consumer Price Index (CPI) + 3%	40%
Return seeking	Current UEP benchmark (section 3.4)	40%
		100%

6.0 Other Non-Endowed Funds

Investment assets received through donations, bequests, contracts and spin-off companies may be subject to contractual stipulations, constraints, conditions of the estate, or other administrative arrangements. These assets may be held until such constraints are removed or the conditions of the agreements are fulfilled. Assets supporting the Supplementary Retirement Plans shall be invested in accordance with their respective agreements.

7.0 GENERAL

7.1 Responsible Investment

As a responsible owner, the University will regularly engage and collaborate with its active investment managers on matters related to environmental, social and governance (ESG) risks and opportunities.

Specifically the University will:

- Integrate the consideration of ESG factors into the investment process as an additional criterion in the selection and ongoing monitoring of active investment managers.
- Regularly review and track the engagement of active investment managers with their investee companies and their proxy voting records on ESG related issues.
- Obtain and evaluate annual disclosure from all active investment managers on how ESG factors are incorporated into their investment decision making processes.
- Collaborate with other institutional investors and industry associations on ESG matters where appropriate.
- Disclose and publish a detailed listing of its investments annually, and report on ESG matters in the Investment Committee's annual report.

7.2 Use of Derivatives

Derivatives offer ways to enhance risk adjusted returns or to protect against unwanted market movements. Where prudent and appropriate, derivatives may be used to gain market exposure, assist with hedging, and/or risk management.

7.3 Leverage

Leverage is an integral component of certain investment strategies. Where leverage is used, investments will be structured to limit potential maximum losses to the amount invested, or notionally collateralized by UEP and NEIP cash balances. The use of leverage will not be undertaken at the portfolio or fund level.

7.4 Securities Lending and Commission Recapture

The securities may be loaned to investment dealers and banks as part of the custodian's lending program when it is deemed that such lending may add incremental return to the funds at minimal risk. External equity investment managers may be directed to participate in a commission recapture program in order to help mitigate internal investment research related expenses.

7.5 Exercise of Proxies and Voting Rights

Proxy or other voting rights will be exercised in the best interest of the University. The responsibility for voting may be delegated to the investment manager, but the University reserves the right to direct the investment manager on the voting of proxies.

7.6 Valuation of Infrequently Traded Investments

The valuation of infrequently traded investments shall be determined by the general partner, trustee or custodian of the fund. In the case of other direct investments, the valuation shall be based on independent opinions of qualified appraisers as required.

7.7 Conflict of Interest Guidelines and Related Parties Transactions

The University's Conflict of Commitment and Conflict of Interest Policy will govern investment activities (General Faculties Council Policy # 35). Related Party transactions will be at fair market value.

7.8 Custody

To maintain a proper segregation of duties and adequate controls, all marketable securities held shall remain with or be monitored by a third-party custodian.

7.9 Donated Securities

Subject to market conditions, donated securities will generally be sold immediately upon receipt by the University. However, where it is advantageous to do so, and subject to the constraints of this policy, the University may hold these securities as other non-endowed funds.

7.10 Policy Review

This policy shall be reviewed at least annually by the Board Investment Committee, who will either confirm or recommend changes to the Board of Governors. Upon recommendation from the Board Investment Committee, the Board of Governors can approve exceptions to this policy.

7.11 Compliance Notification

If an asset allocation or class in section 3.2 or 5.3 of this policy is outside of its minimum to maximum range, but is able to be rebalanced back into the range within a three-month time frame, the Chair of the Board Investment Committee shall be notified by Management. Should the asset allocation or class be expected to be outside the range for more than three months, then Management will provide the Board Investment Committee with an explanation of the situation and a plan to bring the asset allocation or class back within the minimum to maximum range at its next regularly scheduled meeting.

DEFINITIONS

These terms and definitions apply to this policy with no implied or intended institution-wide use.

Absolute Return	Investments and/or strategies that seek to achieve positive returns regardless of the direction of capital markets, also commonly referred to as hedge funds or liquid alternatives. These include but are not limited to strategies such as long/short equity & credit, market neutral, event driven, merger arbitrage, trend following, volatility arbitrage, systematic/discretionary global macro, and tail hedging.
Asset Allocation	The process of dividing investments into different categories (Growth, Inflation Sensitive, Deflation Hedging, and Diversifiers) based on the role that the underlying category or investment strategy performs towards achieving the return and risk tolerance objectives of the portfolio. Each category comprises a specific group of investments that have similar expected return patterns, similar expected risk profiles, high correlations with other investments in the same category, or have a high sensitivity to inflation.
Consumer Price Index (CPI)	A Statistics Canada index of retail prices for goods and services. Increases in the CPI are also referred to as increases in the cost of living and are directly correlated to increases in inflation.
Custodian	A financial institution, usually a bank or trust company, which holds an investment portfolio's securities and cash in safekeeping.
Deflation Hedging	Any asset class that serves the primary objective of providing protection in times of market stress, and supports spending in a prolonged deflationary period. This consists primarily of high quality government and investment grade fixed income securities.

Derivatives	A financial instrument whose value is dependent on the performance of an underlying instrument or asset typically a commodity, bond or equity. They are also available on currencies, interest rates, and equity indices. Futures and options are examples of derivatives.
Diversifiers	Any asset class or investment strategy that is expected to be uncorrelated with Growth, Inflation Sensitive, and Deflation Hedging assets. This may include cash, active currency management, managed futures, and hedge fund strategies including but not limited to low beta long/short equity, market neutral, event driven, merger arbitrage, and global macro.
Growth	Any asset class or investment strategy which can be expected to provide returns that exceed the inflation adjusted rate of spending over the long-term. This may include marketable equity securities, directional long/short equity hedge funds, and credit based fixed income strategies. Private investments include private debt, private equity, and venture capital.
Inflation Sensitive	Any asset class or investment strategy that is expected to protect the fund from high or unanticipated inflation. This may include inflation linked bonds, real estate, infrastructure, timberland, farmland, natural resource public equities, commodities, and energy and renewable resources.
Investment Earnings	The total of realized and unrealized investment gains and losses on the assets of the UEP and NEIP for any given fiscal year; where realized investment gains and losses are typically made up of interest, dividends, rents and capital gains/losses arising from the sale of investments; unrealized investment gains and losses represent the change in fair value of assets held.
Liquidity	Any asset class or investment strategy which can be expected to preserve capital, mature in one year or less from the date of purchase and be liquidated to cash within three months.
Private Markets	Investments and/or strategies that consist of assets not traded on a public exchange or market. These include but are not limited to private equity, venture capital, and private credit.
Proxy	A written authorization given by a shareholder to another individual, usually the company's management, in order to cast his/her vote at a shareholder meeting or at some other point in time.
Rate of Return	The percentage change in the value of an asset, including interest and dividends, over an evaluation period.
Real	Used in conjunction with asset values and rates of return and restates these nominal amounts for movements in the consumer price index.
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Responsible Investment	The integration of environmental, social, and governance (ESG) factors into investment and ownership decisions.

Return Seeking	Any asset class or investment strategy which can be expected to be invested without the need for liquidity for at least ten years.
Risk	The possibility of loss and/or the uncertainty of future returns.
Risk Tolerance	An individual's ability to handle temporary and sustained declines in the value of their portfolio.
Strategic Role Investment Guidelines	A statement of objectives that defines the investment rationale, asset class and/or strategy, risk characteristics and performance expectation.
Value at Risk	A statistical measure of the amount of loss a portfolio might expect to experience over a specified time horizon with a given probability.
Yield	Any asset class or investment strategy which can be expected to preserve capital and mature between one and ten years.

RELATED LINKS

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University Endowment Pool (UEP) Spending Policy

Investment Committee Terms Of Reference

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Internal Loan Policy

Interest Procedure – Restricted Special Purpose and Restricted Research Accounts

Approved:
Board of Governors, March 25, 2022
Board Investment Committee, March 10, 2022

University Funds Investment Policy

Office of Accountability:	Vice President (Finance & Administration)
Office of Administrative Responsibility:	Financial Services
Approver:	Board of Governors
Scope:	Compliance with University policy extends to all members of the University community.

Purpose

The *Post-Secondary Learning Act*, Statutes of Alberta, (2003), Sections 75 and 76, provides The Governors of the University of Alberta with broad investment powers, the authority to pool funds and the authority to distribute income, subject to the terms of a trust on which it may be held. The purpose of this investment policy is to establish distinct asset allocation and risk tolerances for each of the University funds according to the individual fund's spending obligations, objectives, and liquidity requirements.

POLICY

1.0 DESCRIPTION OF UNIVERSITY FUNDS AND GOVERNANCE

The Board of Governors has delegated investment oversight to the Board Investment Committee as documented in the Board Investment Committee's Terms of Reference. The Board of Governors has retained responsibility for the following matters (as outlined in this document):

- The University Funds Investment Policy, which shall include the establishment of broad risk tolerances, strategic asset allocation, and responsible investment.
- The investment objectives and the University Endowment Pool Spending Policy of the University.

The University Funds Investment Policy is subject to annual review by the Board Investment Committee and any recommended changes require approval by the Board of Governors. Management's investment decisions are subject to the overall direction of the Board Investment Committee as reflected in this policy.

The Board Investment Committee's role is to approves the Strategic Role Investment Guidelines (SRIGs). Management has responsibility to select, retain, monitor and dismiss investment managers in accordance with the approved Strategic Role Investment Guidelines. Funds are allocated to external managers, or, when determined to be advantageous, may be managed internally.

Each investment manager shall adhere to this policy and must exercise the care, skill, diligence and judgment that a prudent investor would exercise in making investments. This includes the assessment of environmental, social and governance (ESG) risks and opportunities. Investment managers are expected to be in compliance with all applicable laws and regulations as well as the Code of Ethics and Standards of Professional Conduct established by the CFA Institute.

1.1 University Endowment Pool (UEP)

The UEP consists of the University's endowed trust funds or other funds of a permanent or long-term nature. In addition to the primary pools of capital, external funds may be invested in the UEP including funds of affiliated organizations and funds where the University is a beneficiary.

1.2 Other Endowments

Other endowments consist of endowed trust funds, including those managed by students as part of an academic program , which cannot be pooled for investment purposes because of constraints or conditions attached to the funds.

1.3 Non-Endowed Investment Pool (NEIP)

The NEIP consists of expendable funds, which are pooled for investment purposes.

1.4 Other Non-Endowed Funds

Other non-endowed funds consist of restricted non-endowed donations and the funds earmarked for the Supplementary Retirement Plans, which cannot be pooled for investment purposes because of constraints or conditions attached to the funds. ~~Other non-endowed f~~Funds that fall into this category also include shares in companies received as a form of compensation for licensing a ~~University~~ University-created technology.

2.0 UNIVERSITY ENDOWMENT POOL (UEP)

2.1 Purpose

The UEP represents the pooling of invested assets accumulated by or donated to the University for endowed purposes. The UEP's purpose is to foster an environment of academic excellence where superior teaching, learning, and research can be continuously pursued to benefit all generations equally over time.

2.2 Nature of UEP Liabilities (Spending Policy)

The UEP provides funding to the faculties and departments of the University to be used for endowed purposes in accordance with the terms of each endowment. The objective is an appropriate and stable spending allocation that maintains its purchasing power over time, as outlined in the University Endowment Pool Spending Policy. This policy may be amended from time to time by the Board of Governors to ensure that the real value of the endowments (i.e., net of inflation) is maintained.

3.0 INVESTMENT OBJECTIVES OF THE UEP

3.1 Return and Risk

The principal investment objective of the UEP is to earn a long-term real rate of return that meets or exceeds total endowment spending as outlined in the UEP Spending Policy.

At the core of this approach is a focus on Intergenerational equity which requires that the UEP be managed to provide a comparable level of support to future generations as current beneficiaries receive. This means that the value of the UEP should be preserved over time in real dollar terms in order to maintain the future purchasing power of assets. In setting the spending and investment policies for the UEP, the focus should be not just to preserve but to grow the real value of assets over time, as a margin of safety is required to maintain a stable level of support for endowed purposes across varying capital market and economic conditions.

Assets are allocated across four strategic classifications based on their primary role in the portfolio, which includes Growth, Inflation Sensitive, Deflation Hedging, and Diversifiers. In order to achieve its investment objectives, the UEP will have to maintain a majority weighting in Growth assets and less liquid investment strategies. This is based on projected capital market assumptions which indicate that over long periods of time, these assets can be expected to provide returns that exceed total endowment spending. Deflation Hedging strategies are expected to help provide protection in times of equity market stress and support spending in a prolonged deflationary period. Conversely, Inflation Sensitive assets are expected to protect the UEP from high or unanticipated inflation, while Diversifiers consist of investment strategies that are expected to provide uncorrelated returns to the other three classifications.

There are many types of risk that impact investment performance, including but not limited to capital markets, economic, environmental, governance, interest rates, liquidity, political, and social. Risks will be monitored through the use of quantitative and qualitative indicators and managed where appropriate via asset allocation, active management, derivatives and other strategies.

3.2 Asset Allocation

The strategic asset allocation is determined by the following four factors:

- Objective of a real rate of return that equals or exceeds the total rate of spending
- Long-term return, volatility, and correlation expectations for individual asset classes
- Diversification across asset classes and investment strategies
- Projected liquidity requirements of the UEP

The theoretically infinite time horizon of the UEP allows for the adoption of a strategic asset allocation policy with a high allocation to Growth assets along the following parameters:

Strategic Asset Allocation

	Minimum	Target	Maximum
Growth	50%	60%	70%
Inflation Sensitive	15%	20%	25%
Deflation Hedging	0%	5%	10%
Diversifiers	10%	15%	20%
Total		100%	

To achieve diversification the UEP will invest in the following asset classes:

Growth			
	Minimum	Target	Maximum
Public Equity	30%	40%	~~70~~60%*
Private Markets	5%	20%	25%
		60%	
Inflation-Sensitive			
Real Estate & Infrastructure	5%	10%	15%
Real Assets	5%	10%	15%
		20%	
Deflation Hedging			
Global Government Bonds	0%	5%	10%
		5%	
Diversifiers			
Absolute Return	10%	15%	20%
Cash	-5%	0%	5%
		15%	

* The higher maximum allocation to Public Equity is required to allow for a transition from the current asset allocation to the strategic asset allocation, after which the maximum allocation will be reduced to 50%.

3.3 Categories of Investments

Strategic Role Investment Guidelines shall be classified in accordance with the following general categories in the context of overall fund objectives and the strategic asset allocation described above.

3.3.1 Growth

Growth assets include marketable equity securities, directional long/short equity hedge funds, and credit based fixed income strategies. Private investments include private debt, private equity, and venture capital.

3.3.2 Inflation Sensitive

Inflation sensitive assets include inflation linked bonds, real estate, infrastructure, timberland, farmland, natural resource public equities, commodities, and energy and renewable resources.

3.3.3 Deflation Hedging

Deflation hedging assets include high quality sovereign fixed income securities.

3.3.4 Diversifiers

Diversifiers include cash and cash equivalents, active currency management, and liquid alternatives including but not limited to strategies such as relative value, market neutral, event driven, merger arbitrage, trend following, volatility arbitrage, systematic/discretionary global macro, and tail hedging.

3.4 Rate of Return Goals

In order of priority, it is expected that the UEP will achieve over any 4-year rolling period:

- An annualized real return that meets or exceeds total endowment spending.
- An annualized return, in excess of the following benchmark. The current benchmark will be modified towards the target benchmark as the strategic asset allocation is implemented.

UEP Policy Benchmark (Effective April 1, 2022~~21~~)	Target
MSCI ACWI IMI	50%~~55%~~
MSCI ACWI IMI + 3% (3 month lag)	10%~~5%~~
IPD/Realpac Global Property Index	10%
S&P Global Natural Resources Index	10%
FTSE Canada Federal Bond Index	5%
LIBOR + 6%	15%
	100%

4.0 OTHER ENDOWMENTS

Other Endowments are invested with the same goals, restrictions and quality levels as described above, subject to any stipulation required by contractual agreement, or by condition of the estate, or administrative arrangement.

5.0 NON-ENDOWED INVESTMENT POOL (NEIP)

5.1 Purpose

The NEIP consists of expendable funding that is ~~-~~pooled for investment purposes. The purpose of the NEIP is to provide both liquidity for the University's daily operations and the potential for return enhancement to support strategic initiatives. After determining the cash requirements to meet the University's obligations, it is projected that there will be funds available that may be invested with a longer time horizon than one year, and with less than immediate liquidity~~Long-term forecasts project that a portion of the NEIP will not be required for cash flow management purposes on an on-going basis. Therefore, an investment profile that is less liquid than what would be expected for funds with a short-term investment horizon is appropriate for a portion of the NEIP~~.

5.2 Return and Risk

The principal investment objectives of the NEIP is to generate income for the University across all strategic classifications. Assets are allocated across three strategic classifications based on their primary roles in the portfolio, which includes Liquidity, Yield and Return Seeking. The Liquidity strategy meets these University's short-term cash flow needs, and has a weighting that takes into account the seasonality of revenues. In order to enhance returns tThe Yield strategy takes on additional duration, credit and illiquidity across a highly diversified group of rates based asset classes. The Return Sseeking strategy has a long-term focus and is invested in the UEP, and. It is not expected to be required for cash flow management purposes. The allocations to the Yield and Return Sseeking strategies are balanced for risk management and return diversification purposes.

There are many types of risk that impact investment performance, including but not limited to capital markets, economic, environmental, governance, interest rates, liquidity, political, and social. Risks will be monitored through the use of quantitative and qualitative indicators and managed where appropriate via asset allocation, active management, derivatives and other strategies.

5.31 Asset Allocation

The strategic asset allocation is determined by the following factors:

- Cash flow requirements to meet the University's financial obligations operations
- Capital pShort-term nature of University liabilities, both operating and restricted
- Preservation objective of operating capital
- Diversification to reduce volatility of Investment Earningsreturns and income
- Income gGeneratione income and capital appreciation into support budgeted investment income and future strategic initiativesof the University's operations

Given the short-term and long-term objectives of the NEIP, tTthe strategic asset allocation in the NEIP shall beis as followsaligned into the following time horizons:

Strategic Asset Allocation

	Minimum	Target	Maximum
Liquidity	15%	20%	40%
Yield	35%	40%	45%
Return Seeking	35%	40%	45%

additional constraint to the maximum policy allocation in the table above, is that the Return Seeking strategy's proportionate economic interest in the UEP of return seeking funds is limited by the UEP's exposure to the quotient of 5.0% and the allocation to illiquid investments strategies.

	Minimum	Target	Maximum
Liquidity	20%	35%	50%
Yield	25%	35%	45%
Return Seeking	20%	30%	40%

To achieve diversification within the Yield strategy, the NEIP will invest in the following asset groups and classes:

Fixed Income			
	Minimum	Target	Maximum
Global Fixed Income (public)	20%	30%	40%
Private Credit	10%	20%	30%
Internally-managed (Canadian bonds)	0%	0%	10%
	30%	50%	70%
Preferred Shares			
Preferred Shares	0%	10%	20%
	0%	10%	20%
Real Property			
Commercial Mortgages and Mortgage Backed Securities	0%**	20%	30%
Real Estate & Infrastructure	0%	0%	10%
	0%	20%	30%
Diversifiers			
Absolute Return Strategies	10%	20%	30%
Insurance Linked Securities	0%	0%	10%
	10%	20%	30%
Internally-managed (loans)			
Internally-managed (loans)	0%	0%	20%*
	0%	0%	20%
Total Yield		100%	

* The Internal Loan Policy limits total Internal Loans to 20% of the Yield portfolio.

** The lower minimum allocation to Commercial Mortgages and Mortgage Backed Securities is required to allow for transition from the current asset allocation to the strategic asset allocation, after which the minimum will be increased to 10%.

5.~~2~~4 Categories of Investments

Strategic Role Investment Guidelines shall be classified within the following categories:

5.~~2~~4.1 Liquidity

Assets in the liquidity category include cash, government bills or notes, bank deposits or obligations, and corporate money market securities. All Liquidity investments will have a maturity profile of one year or less.

~~The primary investment objectives for assets in the liquidity category are to meet the University's daily cash flow requirements and to earn a return that meets or exceeds inflation with an acceptable level of risk. Assets in the liquidity category include cash, obligations or deposits issues by Canadian chartered banks, ATB Financial or credit unions that are 100% guaranteed, and investment grade money market securities.~~

5.~~2~~4.2 Yield

~~The investment objective for assets in the yield category is to generate additional return above Liquidity assets, over a longer time horizon, and with an appropriate level of risk. Yield assets include fixed income securities, mortgages, private debt, preferred shares, and absolute return strategies.~~ The Yield strategy is broken down into the following asset groups:

5.4.2.1 Fixed Income

Fixed income provides greater security of capital than equities, and more stable income flows over the long-term. These assets will include global government, corporate, and securitized fixed income securities,~~,~~ bank loans and private credit.

5.4.2.2 Preferred Shares

Preferred shares have both equity and fixed income characteristics, can provide consistent income and diversification benefits in times of rising interest rates.

5.4.2.3 Real Property

Real property backed investments include a~~A~~sset classes that over longer time horizons can~~,~~ offer stable income streams, and are often structured to provide protection against inflation. Real Property assets includes commercial mortgages, mortgage backed securities, r~~R~~eal e~~E~~state, and i~~I~~nfrastructure.

5.4.2.4 Diversifiers

Diversifiers are investment strategies that lower overall portfolio risk. Absolute return strategies include but are not limited to, multi-asset strategies that aim to generate positive returns in all stages of the economic cycle. Insurance linked securities generate returns that are completely uncorrelated to capital markets.

5.4.2.5 Internal Loans

~~Yield also~~ Internal loans include~~s~~ loans to University of Alberta Properties Trust Inc., ~~and loans to~~ University faculties, departments~~,~~ and staff. Loans to University of Alberta Properties Trust Inc. will be at prevailing commercial terms and conditions. The Internal Loan Policy approved by the Board of Governors governs internal loans.

5.~~2~~4.3 Return Seeking

All return seeking funds are invested in the UEP with the objective of earning a higher long-term rate of return, and are managed in accordance with Sections 2 through 4 of this policy.

5.~~3~~5 Budget Considerations and Risk Management

All realized NEIP Investment Earnings not required for current budget purposes will be reinvested to build an investment income reserve. Appropriations from this investment income reserve can be made in a fiscal year when realized NEIP Investment Earnings are less than budgeted. Appropriations from this investment income reserve to the strategic initiatives fund can only be made when total market value of Yield and Return Seeking exceeds the underlying obligation (investment cost) by a factor of 1.17x.

5.~~4~~6 Performance Benchmarks

For each component of the NEIP the benchmark is:

	NEIP Policy Benchmark (Effective April 1, 2021)	Target
Liquidity	FTSE Canada 91 Day T-Bill Index	35%
Yield	Canadian Consumer Price Index (CPI) + 3%	35%
Return Seeking	Current UEP benchmark (section 3.4)	30%
		100%

	NEIP Policy Benchmark (effective April 1, 2022)	Target
Liquidity	FTSE Canada 91 Day T-Bill Index	20%
Yield	Canadian Consumer Price Index (CPI) + 3%	40%
Return seeking	Current UEP benchmark (section 3.4)	40%
		100%

6.0~~5.5~~ Other Non-Endowed Funds

Investment assets received through donations, bequests, contracts and~~,~~ spin-off companies may be subject to contractual stipulations, constraints, conditions of the estate, or other administrative arrangements. These assets may be held until such constraints are removed or the conditions of the agreements are fulfilled. Assets supporting the Supplementary Retirement Plans shall be invested in accordance with their respective agreements.

~~The assets of Restricted Non-Endowed Donations shall be invested with the same goals, restrictions, and quality levels as described above and the University's Interest Procedure - Restricted Accounts will apply, subject to any stipulation required by contractual agreement, or by condition of the estate, or administrative arrangement. The assets of the Supplementary Retirement Plans shall be invested in accordance with the agreement.~~

7~~6~~.0 GENERAL

7~~6~~.1 Responsible Investment

As a responsible owner, the University will regularly engage and collaborate with its active investment managers on matters related to environmental, social and governance (ESG) risks and opportunities.

Specifically the University will:

- Integrate the consideration of ESG factors into the investment process as an additional criterion in the selection and ongoing monitoring of active investment managers.
- Regularly review and track the engagement of active investment managers with their investee companies and their proxy voting records on ESG related issues.
- Obtain and evaluate annual disclosure from all active investment managers on how ESG factors are incorporated into their investment decision making processes.
- Collaborate with other institutional investors and industry associations on ESG matters where appropriate.
- Disclose and publish a detailed listing of its investments annually, and report on ESG matters in the Investment Committee's annual report.

7~~6~~.2 Use of Derivatives

Derivatives offer ways to enhance risk adjusted returns or to protect against unwanted market movements. Where prudent and appropriate, derivatives may be used to gain market exposure, assist with hedging, and/or risk management.

7~~6~~.3 Leverage

Leverage is an integral component of certain investment strategies. Where leverage is used, investments will be structured to limit potential maximum losses to the amount invested, or notionally collateralized by UEP and NEIP cash balances. The use of leverage will not be undertaken at the portfolio or fund level.

7~~6~~.4 Securities Lending and Commission Recapture

The securities may be loaned to investment dealers and banks as part of the custodian's lending program when it is deemed that such lending may add incremental return to the funds at minimal risk. External equity investment managers may be directed to participate in a commission recapture program in order to help mitigate internal investment research related expenses.

76.5 Exercise of Proxies and Voting Rights

Proxy or other voting rights will be exercised in the best interest of the University. The responsibility for voting may be delegated to the investment manager, but the University reserves the right to direct the investment manager on the voting of proxies.

76.6 Valuation of Infrequently Traded Investments

The valuation of infrequently traded investments shall be determined by the general partner, trustee or custodian of the fund. In the case of other direct investments ~~in real estate~~, the valuation shall be based on independent opinions of qualified appraisers as required.

76.7 Conflict of Interest Guidelines and Related Parties Transactions

The University's Conflict of Commitment and Conflict of Interest Policy will govern investment activities (General Faculties Council Policy # 35). Related Party transactions will be at fair market value.

76.8 Custody

To maintain a proper segregation of duties and adequate controls, all marketable securities held shall remain with or be monitored by a third-party custodian.

76.9 Donated Securities

Subject to market conditions, donated securities will generally be sold immediately upon receipt by the University. However, where it is advantageous to do so, and subject to the constraints of this policy, the University may hold these securities as other non-endowed funds~~internally~~.

7.10 Policy Review

This policy shall be reviewed at least annually by the Board Investment Committee, who will either confirm or recommend changes to the Board of Governors. Upon recommendation from the Board Investment Committee, the Board of Governors can approve exceptions to this policy.

76.101 ~~Policy Review~~Compliance Notification

If an asset allocation or class in section 3.2 or 5.3 of this policy is outside of its minimum to maximum range, but is able to be rebalanced back into the range within a three-month time frame, the Chair of the Board Investment Committee shall be notified by Management. Should the asset allocation or class be expected to be outside the range for more than three months, then Management will provide the Board Investment Committee with an explanation of the situation and a plan to bring the asset allocation or class back within the minimum to maximum range at its next regularly scheduled meeting.

DEFINITIONS

These terms and definitions apply to this policy with no implied or intended institution-wide use.

Absolute Return	Investments and/or strategies that seek to achieve positive returns regardless of the direction of capital markets, also commonly referred to as hedge funds or liquid alternatives. These include but are not limited to strategies such as long/short equity & credit, market neutral, event driven, merger arbitrage, trend following, volatility arbitrage, systematic/discretionary global macro, and tail hedging.
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	with other investments in the same category, or have a high sensitivity to inflation.
Consumer Price Index (CPI)	A Statistics Canada index of retail prices for goods and services. Increases in the CPI are also referred to as increases in the cost of living and are directly correlated to increases in inflation.
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Inflation Sensitive	Any asset class or investment strategy that is expected to protect the fund from high or unanticipated inflation. This may include inflation linked bonds, real estate, infrastructure, timberland, farmland, natural resource public equities, commodities, and energy and renewable resources.
Investment Earnings	The total of realized and unrealized investment gains and losses on the assets of the UEP and NEIP for any given fiscal year; where realized investment gains and losses are typically made up of interest, dividends, rents and capital gains/losses arising from the sale of investments; unrealized investment gains and losses represent the change in fair value of assets held.
Liquidity	Any asset class or investment strategy which can be expected to preserve capital, mature in one year or less from the date of purchase and be liquidated to cash within three months.
Private Markets	Investments and/or strategies that consist of assets not traded on a public exchange or market. These include but are not limited to private equity, venture capital, and private credit.

Proxy	A written authorization given by a shareholder to another individual, usually the company's management, in order to cast his/her vote at a shareholder meeting or at some other point in time.
Rate of Return	The percentage change in the value of an asset, including interest and dividends, over an evaluation period.
Real	Used in conjunction with asset values and rates of return and restates these nominal amounts for movements in the consumer price index.
Real Assets	Investments and/or strategies that derive their value from physical assets. These include but are not limited to natural resource equities, energy and renewable resources, commodities, agriculture, timber, and farmland.
Responsible Investment	The integration of environmental, social, and governance (ESG) factors into investment and ownership decisions.
Return Seeking	Any asset class or investment strategy which can be expected to be invested without the need for liquidity for at least ten years.
Risk	The possibility of loss and/or the uncertainty of future returns.
Risk Tolerance	An individual's ability to handle temporary and sustained declines in the value of their portfolio.
Strategic Role Investment Guidelines	A statement of objectives that defines the investment rationale, asset class and/or strategy, risk characteristics and performance expectation.
Value at Risk	A statistical measure of the amount of loss a portfolio might expect to experience over a specified time horizon with a given probability.
Yield	Any asset class or investment strategy which can be expected to preserve capital and mature between one and ten years.

RELATED LINKS

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Approved:
Board of Governors, March 25, 2022~~March 12, 2021~~
Board Investment Committee, March 10, 2022~~February 25, 2021~~

Item No. 3h

Governance Executive Summary
Action Item

Agenda Title	**Approval of the Proposed Residence Community Standards Policy Suite and Rescission of the Current University of Alberta Residence Community Standards Policy**

Motion

THAT the Board of Governors, on the recommendation of the Board Learning, Research and Student Experience Committee and General Faculties Council, approve the proposed UAPPOL Residence Community Standards Policy Suite, as set forth in Attachments 2 and 3, and the rescission of the current Residence Community Standards Policy, as set forth in Attachment 5, all to take effect August 1, 2022.

Item

Action Requested	☒ Approval ☐ Recommendation
Proposed by	Helen Vallianatos, Acting Vice-Provost and Dean of Students
Presenter(s)	Janice Johnson, Assistant Dean of Students, Residences Alison Exner, Supervisor, Residence Life- Community Support

Details

Office of Administrative Responsibility	Provost & Vice-President (Academic)
The Purpose of the Proposal is (please be specific)	The proposal is to request approval of the Residence Community Standards policy suite in University of Alberta Policies and Procedures Online (UAPPOL) and rescission of the current Residence Community Standards Policy.
Executive Summary (*outline the specific item – and remember your audience*)	**Overview** The Residence Community Standards Policy outlines expectations for community living in University of Alberta residences. All residents are subject to this policy, which also provides procedures for addressing behaviour that impacts the community in residence through a Restorative Justice process. Restorative Justice has been used successfully in University of Alberta residence since 2011. Since that time the culture in residence has evolved and there is a better understanding of Restorative Justice by Residence Services, residence students and residence associations. **Policy Review and Proposal** A policy review with extensive consultation has been undertaken between October 2020 and July 2021. This process has led to a proposal for both editorial and substantial changes to the existing policy including moving information into the policy templates for UAPPOL. Changes include: • Creating separate policy, procedure, and information documents as set out in the UAPPOL Policy Framework • Revising resident rights and responsibilities and Residence Services responsibilities to add clauses that support diversity, inclusion, wellness, and positive communal living in residence • Revising procedures to provide flexibility to create a restorative practice that fits the situation and address bottlenecks that impact timeliness.

	• Updating policy for clarity/transparency, appropriate language choice, and alignment with other campus policies and documents. Feedback from discussion at GFC Student Conduct Policy Committee (SCPC) and GFC has been integrated into the proposal, including edits to language about confidentiality and, clarification of how the procedures interact with the Sexual Violence policy and associated procedures. Red text identifies changes to the proposal since November 25, 2021 when last discussed with the SCPC.
Supplementary Notes and context	*Attachment 1 was updated following GFC's recommendation to include Section 5 – Assessment Plan with key performance indicators.*

Engagement and Routing (Include proposed plan)

Consultation and Stakeholder Participation (parties who have seen the proposal and in what capacity)	**Those who are actively participating:** • Residence Life • Residence Associations • Residence Life student staff **Those who have been consulted:** • Residence Advisory Council • Council of Residence Associations • University of Alberta Students Union, VP Student Life • Graduate Students' Association of the University of Alberta, President and VP External • Residents at large • Augustana residents at large and student staff • Office of the Student Ombuds • International Student Services • First People's House • The Landing • Student Conduct and Accountability • University of Alberta Protective Services • Restorative Justice Training Team (RJTT) • Residence Life professional staff • Augustana Student Life • Office of General Counsel • Information and Privacy Office • UAPPOL Team • Dean of Students Office **Those who have been informed:** • Campus Services leadership
Approval Route (Governance) (including meeting dates)	• GFC Student Conduct Policy Committee for recommendation - January 20, 2022 • GFC Executive Committee for placement on GFC agenda - February 14, 2022 • General Faculties Council for recommendation - February 28, 2022 • Board Learning , Research, and Student Experience Committee for recommendation - March 11, 2022 • Board of Governors for approval - March 25, 2022

Strategic Alignment

<table>
<tr><td>Alignment with For the Public Good</td><td colspan="2">19. OBJECTIVE
Prioritize and sustain student, faculty, and staff health, wellness, and safety by delivering proactive, relevant, responsive, and accessible services and initiatives.
21. OBJECTIVE
Encourage continuous improvement in administrative, governance, planning and stewardship systems, procedures, and policies that enable students, faculty, staff, and the institution as a whole to achieve shared strategic goals.</td></tr>
<tr><td rowspan="2">Alignment with Core Risk Area</td><td colspan="2">Please note below the specific institutional risk(s) this proposal is addressing.</td></tr>
<tr><td>☐ Enrolment Management
☐ Faculty and Staff
☐ Funding and Resource Management
☐ IT Services, Software and Hardware
☐ Leadership and Change
☐ Physical Infrastructure</td><td>☐ Relationship with Stakeholders
☒ Reputation
☐ Research Enterprise
☒ Safety
☒ Student Success</td></tr>
<tr><td>Legislative Compliance and jurisdiction</td><td colspan="2">Post-secondary Learning Act (PSLA)
GFC COSA Terms of Reference
GFC Student Conduct Policy Committee Terms of Reference
GFC Executive Committee Terms of Reference
GFC Terms of Reference
BLRSEC Terms of Reference Section 2p</td></tr>
</table>

Attachments:

1. Briefing Note on Residence Community Standards Policy (14 pages)
2. Proposed Residence Community Standards Policy (6 pages) – **for approval**
3. Proposed Residence Community Standards Procedure (8 pages) – **for approval**
4. Proposed Example Confidentiality Agreement Information Document (1 page)
5. Current University of Alberta Residence Community Standards Policy (15 pages) **– for recission**

Prepared by: Alison Exner, Supervisor, Residence Life- Community Support, exner@ualberta.ca

RESIDENCE SERVICES

Residence Community Standards Policy Update **Briefing Note**

UNIVERSITY OF ALBERTA
RESIDENCE SERVICES

Executive Summary

The Residence Community Standards Policy outlines expectations for community living in University of Alberta residences. All residents are subject to this policy, which also provides procedures for addressing behaviour that impacts the community in residence through a Restorative Justice (RJ) process.

A thorough consultation and review of the Residence Community Standards Policy were undertaken from October 2020 to July 2021, resulting in a proposal to:

- Create separate policy, procedure, and information documents to be housed in UAPPOL
- Revise resident rights and responsibilities and Residence Services responsibilities to add clauses that support diversity, inclusion, wellness, and positive communal living in residence
- Revise procedures to provide flexibility to create a restorative practice that fits the situation and addresses bottlenecks that impact timeliness.
- Update policy for clarity/transparency, appropriate language choice, and alignment with other campus policies and documents.

Document Contents

1. Overview

2. Policy Review and Environmental Scan

3. Substantial Changes

4. Vetting & Consultation

5. Assessment Plan

Appendix A: Relevant Links

1. Overview

Accountability

- Office of Accountability: Provost and Vice-President (Academic)
- Office of Administrative Responsibility: Vice-Provost and Dean of Students
- Development Sponsor: Janice Johnson, Assistant Dean of Students, Residences
- Development Lead: Alison Exner, Supervisor, Residence Life - Special Projects
- Policy Approver: Board of Governors
- Procedures Approver: General Faculties Council Student Conduct Policy Committee

Approval Path

UAPPOL Development Path

- Stakeholder Vetting Complete - July 2021

- Final Draft Reviewed by UAPPOL Team - July 2021
- Vice-Provost and Dean of Students Office - July 2021
- Provost and Vice-President (Academic) Office- Late Summer/ Early Fall 2021

Discussion Path

- Council on Student Affairs (COSA) - September 9, 2021
- Student Conduct Policy Committee (SCPC) - September 23, 2021
- Board Learning, Research, and Student Experience Committee (BLRSEC) - October 1, 2021
- General Faculties Council (GFC) Executive Committee - October 4, 2021
- General Faculties Council (GFC) - October 25, 2021
- General Faculties Council (GFC) Executive Committee - November 15, 2021
- Student Conduct Policy Committee (SCPC) - November 25, 2021
- General Faculties Council (GFC) - November 29, 2021

Approval Path

- Student Conduct Policy Committee (SCPC) for Recommendation - January 20, 2022
- GFC Executive Committee - February 14, 2022
- General Faculties Council (GFC) - February 28, 2022
- Board Learning, Research, and Student Experience Committee (BLRSEC) - March 11, 2022
- Board of Governors - March 25, 2022

Final Steps

- Revised policy and procedure takes effect August 1, 2022
- Recission of prior policy for the same date
- Content manager uploads to UAPPOL
- Residence Services informs residents and campus stakeholders of changes using communication strategy below

Consultation Overview

Students and Student Associations

- Residence Advisory Council
- Council of Residence Associations
- University of Alberta Students' Union
- Graduate Students' Association of the University of Alberta
- Residents at large
- Residence Life student staff
- Augustana residents at large and student staff

Campus Partners

- Student Conduct and Accountability
- Office of the Student Ombuds

- International Student Services
- First Peoples' House
- The Landing
- University of Alberta Protective Services
- Restorative Justice Training Team (RJTT)
- Residence Life Professional Staff
- Augustana Student Life
- Office of General Counsel
- Information and Privacy Office
- UAPPOL Team
- Office of the Dean of Students, Student Life Team

Detailed list from consultation and vetting in section 4.

Communication strategy for updated policy and procedure

- Residents - communicated through website, orientation, ongoing education and programming (supported by the creation of a new Community Management Intern student staff role).
- Resident Associations - discussion at regular standing meetings. Have been kept updated throughout the review process.
- Students' Union - discussion at regular standing meetings.
- Graduate Students Association- discussion at regular standing meetings
- Residence Services staff and student staff - departmental meetings, email, updated training, and website.
- Augustana residence staff, student staff, and residents - collaborative plan with Augustana residence staff on communication including website updates, training, and programming.
- University of Alberta Protective Services - through Community Liaison Officer.
- Office of the Dean of Students, Student Life Team - communicated via email with optional meeting to discuss
- Office of the Student Ombuds - communicated via email with optional meeting to discuss
- Helping Individuals at Risk - communicated via email with optional meeting to discuss.
- First Peoples' House - communicated via email with optional meeting to discuss.
- Student Accountability and Conduct - discussion at regular standing meetings. Have been working closely with this office throughout the process.

2. Policy Review and Environmental Scan

Policy Issue

This is an update to the existing Residence Community Standards Policy and moving it into the UAPPOL system as a policy and related procedure. The existing policy provides expectations for residents through a list of resident rights and responsibilities and outlines procedures for

Residence Services to address violations of the policy through a Restorative Justice process and refers to the external breach of Residence Agreement or Code of Student Behaviour process for violations not addressed using Restorative Justice. The review is overdue as the last updates were approved in 2013. Our goal was to propose both editorial and substantial changes to the policy after consultation with stakeholders.

Restorative Justice in Residence

In the last decade, Residence Services and the University of Alberta has become a respected leader in Restorative Justice practices in higher education. We provide all Residence Life frontline coordinators with comprehensive Restorative Justice training - built specifically to prepare staff to use the policy. We also do ongoing training with staff on other restorative practices such as peacemaking circles. Student staff receive training on doing Community Resolutions, where a situation is resolved in the moment through a restorative conversation. As we have gotten better at using and understanding Restorative Justice and restorative practices, we have outgrown some wording in the policy and procedures (including our definition of restorative justice).

Current Policy

The current version of the Residence Community Standards Policy was first approved in February 2011 for implementation beginning September 1, 2011. This policy proposed a Restorative Justice model to address behavioural incidents in residence for the first time at the University of Alberta. Updates to the policy were approved in 2013. The policy is housed as a governance document on the University website, but is not formatted in a style congruent with other University policies missing information on the effective date, approvers, or even a University of Alberta logo.

Reporting in respect to this policy occurs annually in accordance with the *GFC Student Conduct Policy Committee Terms of Reference* in conjunction with the Dean of Student's Portfolio annual report of student conduct responses.

Linkages/Interactions with other Documents/Policies

This policy links to the *Residence Agreement* (contractual lease agreement) and the *Residence House Rules* (community-specific, day-to-day living expectations). The Residence Agreement outlines that a resident will obey the *Residence Community Standards Policy* and *House Rules*. The policy also affirms the expectations of students under the following University policies:

- the *Code of Student Behaviour*;
- the *Sexual Violence Policy*; *Discrimination,*
- the *Harassment and Duty to Accommodate Policy*; and
- the *Information Technology Use and Management Policy*.

Canadian Post Secondary Residence Programs and Restorative Justice

The University of Alberta is one of few Canadian institutions using a structured Restorative Justice approach to address resident misconduct. University of Guelph is an example of another institution using a restorative approach in residence, but their staff report that it isn't a fully Restorative Justice model. Many institutions train their residence staff on restorative practices for roommate disagreements or other informal use, even if their policies aren't written to include Restorative Justice processes. Outside of residence, Restorative Justice and restorative practices are being used and explored by many Canadian institutions, including for use in cases of sexual or gender-based violence. Dalhousie University's use of Restorative Justice in response to a high profile incident in their dental program in 2014-15 was publicized widely in Canadian national media.

3. Substantial Changes

Why are we wanting to move to UAPPOL?

Currently, information about the Community Standards policy and processes are housed on the governance website without the policy template or other information that students and staff expect from an official university policy. In fact, the PDF doesn't even have a university logo on it. The move to UAPPOL protects students by ensuring any changes in the policy or procedure go through appropriate approvals and ensures the policy is available, providing transparency for anyone who lives or works in residence. Moving to UAPPOL also allows us to separate the policy from the procedures to address violations of the policy. As a comparison, the Sexual Violence Policy is found in UAPPOL.

Substantial Changes

- "Restorative Justice" procedures are replaced with more flexible "Restorative Practices" allowing us to create a practice that suits the situation based on restorative principles. These principles are outlined in the procedures and allow us to create practices that address the complex nature of conflict and human issues. The move away from the term Restorative Justice also creates a distinction between our process and Restorative Justice that occurs as part of the criminal justice system.
- A harmed party is no longer required to be involved in order to move forward with restorative practices. Asynchronous opportunities for restorative practices are available if a harmed party does not want a synchronous practice.
- The time limit for internal investigations is increased to 15 business days from 14 calendar days (3 weeks instead of 2). This longer period provides more flexibility for involved parties to set meetings with residence staff during busy academic periods, as residents were already frequently asking for extensions to meet with residence staff.
- In cases where harmed parties want to be involved in an immediate restorative practice, student staff could facilitate a restorative practice in the moment to address a situation and document it as a Community Resolution.

- House Rules can be updated/changed by Residence Services with involvement of students and Residence Student Associations as outlined in the *University of Alberta Student Participation Process Handbook*
- Clear indication that no action under the code will preclude action under the Residence Community Standards Policy or vice versa, although to the extent possible only one process will be used. Residents can be held accountable through both processes, as the processes address separate matters. One addresses a resident's status in the residence community and the other addresses student conduct and status on campus as a whole, and the process sanctions/outcomes are separate purposes (similar to a criminal case not precluding a civil case or a criminal case for theft not precluding an employer from firing the employee charged with theft).
- Restorative practices may occur in addition to outcomes through the Residence Agreement. The Residence Agreement outcome is to be applied before the restorative practice to ensure residents know the other consequences they are facing when proceeding with a restorative practice. This ensures responsible parties have all relevant info before choosing to be part of a restorative practice.
- Decisions on process and outcomes are no longer required to go through a Residence Supervisor, removing red tape from the process and hopefully making investigations, restorative practices, and outcomes happen in a more timely manner. The current restructure in residence to have one staff member work on policy violations provides the consistency that Supervisor decisions was trying to create. We look forward to less bottlenecks in the process.
- Additions/revisions to the resident rights and responsibilities to add clauses that support diversity, inclusion, wellness, and positive communal living in residence as well as providing corresponding rights for resident responsibilities and vice versa.

Other Edits of Interest

- Removal of terms used in policing and the judicial system: ie “impact statement”, “respondent”
- Policy points to *Sexual Violence Policy,* the *Code of Student Behaviour*, the *Discrimination, Harassment, and Duty to Accomodate Policy*, and the *Information Technology Use and Management Policy*
- Removal of specific job titles in the policy, allowing for updates to job titles without requiring changes to the policy.

What will the student experience be like in the future?

- Continue to use Community Resolutions to address violations that can be resolved in the moment.
- Harmed parties will receive opportunities to be involved in a restorative process asynchronously or synchronously. If the harmed party says no or no harmed party can be identified, a revised restorative practice may still be available to the responsible party (providing the requirements for a restorative practice can be fulfilled).

- Restorative practices will be created with the needs of the situation in mind, to ensure they are appropriate for the situation (not one size fits all).
- Decisions on routing (ie. routing to a restorative practice or breach of Residence Agreement) can be made at the coordinator level rather than waiting on a supervisor (speeding the process).
- Cases that cannot be resolved restoratively will be addressed through the residence agreement.

What does an eviction look like under this policy?

The Residence Community Standards Policy does not currently identify the process for eviction in residence. The eviction process is defined by contract law (the Residence Agreement), and not by the Residence Community Standards Policy. Evictions occur when there has been a substantial breach of the Residence Agreement and the landlord decides to cancel the Residence Agreement. The current Residence Community Standards Policy states that the process outlined in that policy does not apply in circumstances where the university acts as landlord. (section III. 1). The revised policy and procedures maintain the distinction.

4. Vetting & Consultation

Stakeholders	Format of consultation, date, and outcome.

Residents at Large	• Survey January 26 to February 10, 2021
	• Focus Groups
	  ○ February 16, 2021 - Augustana Residents
	  ○ February 23, 2021 - North Campus Residents
	
	Details of consultation found in the next section of this document.

Residence Advisory Council (RAC)	• Discussion March 18 meeting • Draft Shared May 13, 2021 • Discussion at RAC Meeting May 20, 2021 No concerns brought forward by RAC members
Council of Residence Associations (CORA)	• Discussion at June 18, 2021 meeting No feedback from CORA

University of Alberta Students' Union	• Discussion with SU VP of Student Life 2020-21, Katie Kidd April 22, 2021 • Discussion with SU VP of Student Life 2021-22, Talia Dixon- May 26, 2021 • Draft Shared May 13, 2021 Supported move to UAPPOL, gave feedback on terms needing definition and residence services responsibilities.
Graduate Student Association (GSA)	• Discussion with GSA president Anas Fassih and VP External Mohd Tahsin Bin Mostafa - Friday, April 16, 2021 Supported move to UAPPOL, and requested clear information for cases that may move through both the code and community standards for the same behaviour.
Student Conduct and Accountability	• Discussions with Deb Eerkes on October 5, 2020, March 11, 2021, and April 7, 2021. • Drafts shared March 23, 2021, May 11, 2021, June 23, 2021, and July 5, 2021. Supported move to UAPPOL, helped update language, helped craft asynchronous practice procedures, and provided valuable overall feedback.
Office of the Student Ombuds	• Drafts shared May 2021 • Discussion at May 25, 2021 meeting Supported move to UAPPOL, gave feedback on word choice and clarity, support for many of the changes, and requested quality education for residents on how the documents work together.
International Student Services	• Discussion with Nora Lambrecht May 5, 2021 Supported move to UAPPOL, support use of asynchronous practices as they can be more culturally appropriate, and appreciated definitions as well as clear headings to find the section you need.
First Peoples' House	• Discussion and shared drafts with Jessie Letendre at May 7, 2021 meeting

	Provided valuable suggestions for additions under rights/ responsibilities and procedures.
The Landing	● Discussion with Em Matheson May 28, 2021 ● Draft shared May 2021 Provided valuable feedback and detailed edits for more inclusive wording and revision of phrasing. Supportive of restorative practices.
University of Alberta Protective Services	● Discussion with Ken Chan Community Liaison Officer on Feb 26, 2021 ● Draft shared May 11, 2021 for feedback
Restorative Justice Training Team (RJTT)	● Discussed at RJTT meetings throughout 2020-2021 ● Drafts shared May 11, 2021 for feedback Support from team on using term “restorative practices” and move to UAPPOL.
Residence Life Professional Staff and Student Interns	● Initial request for feedback: Nov 19, 2020 ● Discussion with Residence Coordinators: December 15, 2020 ● Discussion with Residence Leadership: February 26, 2021 ● Draft 2 sent out March 23, 2021 ● Draft 3 sent out week of May 10, 2021 Support for move to UAPPOL and valuable feedback on rights and responsibilities as well as language choice
Residence Life Student Staff	● Focus Group Feb 2021 ● Draft shared with interns for feedback week of May 10, 2021 Detailed feedback on resident rights and responsibilities, clarity of procedures, and language choice.
Augustana Student Life and Residence Life Staff	● Discussion meeting with Rob Ford January 11, 2021 ● Draft Shared May 26, 2021 ● Discussion meeting with Randal Nickel June 18,

	2021 Support for all updates and changes.
Office of General Counsel	• Meeting with Jax Oltean June 4, 2021 for guidance on interaction with Code of Student Behaviour and confidentiality.
Information and Privacy Office	• Meeting with Mary Golab June 4, 2021 for guidance on confidentiality agreements
Student Conduct Policy Committee Working Group	• Initial Discussion on November 12, 2020 Support for moving forward with review
UAPPOL Team	• Draft and development plan shared with Andrew Leitch June 25, 2021 Approved development plan and proposed documents
Office of Administrative Accountability: Vice- Provost and Dean of Students	• Meeting with André Constopoulos July 15, 2021
Office of Accountability: Provost and Vice-President (Academic)	• Late Summer/ Early Fall 2021

Resident Consultation

Residents at Large Student Engagement Survey

- Survey built by Student Engagement working group made up of Residence Association members and student staff along with community management staff. Survey was open from January 26 to February 10, 2021 with 340 respondents. 209 respondents chose to disclose demographic information, with 50% having lived in residence one year or less and 68% being domestic students.
- Goals of Survey (created with working group):
    - Gather information on perceived effectiveness of current procedures (RJ and Breach of Residence Agreement) and proposed changes
    - Gather information on perceived trust in the policy
    - Provide a space for students to share all concerns with how conduct is handled in Residence

Quantitative Results

- 80% believe they have some or high understanding of what Restorative Justice is.

- 74.9% believe Restorative Justice is effective in addressing behaviour that breaks the rules or impacts others in residence more often than not.
- 70% were somewhat or very likely to decide to be part of a Restorative Justice process if they were a harmed party.
- 75% believe the Breach of Residence Agreement process is effective in addressing behaviour that breaks the rules or impacts others in residence more often than not.
- 30% believe educational sanctions would be effective in addressing behaviour that breaks the rules or impacts others in residence more often than not.
- 82% trust the conduct process in residence to be fair and confidential ("yes, completely"or "yes, somewhat")
- 70% trust that at the end of the conduct process that the community, including reporters and the responsible party, will not be worse off than when they began ("yes, completely"or "yes, somewhat")

Qualitative Themes

- Rules/expectations perceived not to be applied fairly
- Concern about efficacy of educational sanctions
- Lack of confidentiality
- Judgement/Social impacts for Harmed/Reporting Parties
- Student staff accountability
- Concern about sexual violence cases

Resident Focus Groups

- Three focus groups conducted virtually on Zoom in February 2021. Participants were compensated for their time with $10 ONEcard cash (North campus student staff were paid their normal hourly rate for their time instead of ONEcard cash).
    - February 16, 2021 7-8pm - Augustana Residents (3 participants)
    - February 23, 2021 4-5pm- North Campus Residents (5 participants)
    - February 24, 2021 4-5pm- North campus student staff (3 participants)
- The goals of these focus groups were to:
    - Evaluate current understanding and student attitudes of the residence conduct system and to explore possible updates to the policy
    - Explore themes identified in the survey and hear student suggestions to address issues.

Qualitative Themes

- Unclear/unknown expectations, especially for new move-ins
- Some confusion about what RJ is and how it is used in residence, some disagreement on if it is effective or not.
- Student staff bias perceived as favouritism for their friends, perhaps a bias against student leaders in Lister, and being more likely to document a concern at the beginning of the year

- Concern at Augustana about perception of RJ and overall lack of understanding of conduct system from student staff and students
- Harmed parties are hesitant to report behaviour that impacts them for fear of social reprisals/impacts.
- Comfortable having restorative practices without the harmed party present.
- Finding a balance of residents not taking expectations seriously with residents who are overly anxious of being documented or have strong emotional reactions when documented for the first time
- Confidentiality is not respected by responsible parties who turn the situation into a story later, some student staff are keeping incidents confidential and some aren't.
- Perception that RAs don't follow expectations themselves, which is aggravated when students don't see the RA go through the conduct process or repair harms with the community generally.
- Concern about addressing serious incidents as soon as possible (perception that it takes 3-5 business days)

5. Assessment Plan

Currently residence uses three primary quantitative assessments of the Residence Community Standards Policy and processes on an ongoing basis:

- Tracking of incident numbers, the process used, outcomes, and recidivism
- An outcomes survey that residents are invited to complete at the end of their interaction with the Residence Community Standards process.
- Annual satisfaction survey which includes the following topics:
    - Interactions with the conduct system
    - How others behaviours impact my experience in residence
- Focus groups and consultations as needed (generally every 2 years).

Key Performance Indicators

These KPIs have been tracked in at least the previous and current academic years allowing for comparison of eack KPI under the current policy and the updated policy.

- Number of incidents and percentage of overall incidents that are addressed with a restorative practice
- Number of students who are documented repeating the same behaviour after a restorative practice
- Percentage of students who self report repeating behaviour they had previously been addressed through the process
- Percentage of students reporting that as a result of the conduct process they understand the harm and/or potential harm their behaviour had on the community
- Percentage of students reporting that they are unlikely to repeat the behaviour in the future

- Percentage of students who report that living in residence has made them more aware of how their actions impact others
- Percentage of students who report residence policies are clear upon moving into residence
- Percentage of students who feel safe in their residence room, common spaces, and in the community around residence both at night and during the day.
- Percentage of students who report experiencing or witnessed racism, homophobia, or other forms of descrimination in residence
- Percentage of students who report being verbally assaulted or involved in a physical altercation in residence

Appendix A: Relevant Links

Residence Community Standards Policy

- Direct Link to Current Policy

Residence Community Standards Policy Webpage

- Current Webpage where policy is found, hosted under Governance

Residence Community Expectations

- Residence Services landing page with information on policies relevant to residents, including the Residence Community Standards Policy

UNIVERSITY OF ALBERTA

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

Proposal

Original Approval Date: **(Effective Date:)** **Most Recent Approval Date:**

Most Recent Editorial Date:

RESIDENCE COMMUNITY STANDARDS POLICY

Office of Accountability:	Provost and Vice-President (Academic)
Office of Administrative Responsibility:	Vice-Provost and Dean of Students
Approver:	Board of Governors
Scope:	Compliance with this University policy extends to anyone living or working in a University of Alberta Residence.

1. Overview

a. The primary objective of all **University of Alberta Residences** is to support the successful pursuit of academic studies. Living in residence provides many personal and social benefits; correspondingly, all **residents** are jointly responsible for a comfortable, safe, and secure living environment conducive to academic study and learning.

b. The relationship between the University of Alberta ("the University") and residents is contractual, governed by the ***Residence Agreement***, which is administered by Residence Services and signed by the resident. The Residence Community Standards Policy forms one aspect of that relationship. It in no way restricts the University from enforcing the *Residence Agreement*, which may include eviction or other consequences.

c. The Board of Governors derives authority to approve policy on student behaviour from the *Post-Secondary Learning Act*.

2. Purpose

a. This policy outlines expectations for community living in an academic environment. It applies to every resident in any University residence facility while on residence premises (as defined in the *Residence Agreement*), whether it is their home residence or one in which they are a guest. This policy strives to balance interests of residents with the needs of the residence **community**, a community which is made up of individuals from diverse backgrounds, with a wide range of beliefs, opinions and values. This policy has five main objectives:

i. To promote behaviour among residents and their guests that creates an environment supportive to academic study and learning.

ii. To protect residents' well-being

iii. To protect residents' property, as well as that of the University.

iv. To encourage residents to participate in the betterment of their community by resolving issues together in a responsible manner, with the goal of repairing **harm** and rebuilding the community.

v. To foster growth, self-discipline, and accountability by helping residents to understand how their actions and behaviours, both in real life and virtual environments, impact others so that they can make choices that consider both themselves and their community.

b. This policy fits within a network of interconnected documents, policies and procedures related to residences, including (but not limited to):

i. The *Residence Agreement* (electronically signed and provided to each resident);

ii. ***House Rules*****,** which are rules specific for each residence community (located on the Residence Services website),

iii. *The Application for Residence*;

iv. The Residence Services acceptance letter and package.

c. Residents are also members of the University community and are therefore also expected to adhere to the *Code of Student Behaviour*; the *Sexual Violence Policy; Discrimination, Harssment and Duty to Accomodate Policy*; and the *Information Technology Use and Management Policy* at all times.

d. Residence Services will report annually with respect to this policy to the General Faculties Council Student Conduct Policy Committee (SCPC) in accordance with the *GFC Student Conduct Policy Committee Terms of Reference*. A formal review of the policy and procedure will occur periodically as required by SCPC. The review will be conducted by a group of key stakeholders, including students and staff.

e. Updates and changes to the *House Rules* will be made in consultation with residents and **Residence Students' Associations** of impacted buildings as outlined in the *University of Alberta Student Participation Process Handbook*. Updates and changes are not required to be approved by GFC or the Board of Governors.

3. POLICY

a. Residents living in University residences have rights and responsibilities under this policy and violations will be addressed by the University under this policy and associated procedures.

b. Any University community member may report an incident where a resident's rights or responsibilities have been violated under this policy.

c. Retaliation or reprisals against any person involved in reporting a policy violation of this policy (including witnesses) is prohibited. Where it has jurisdiction, the University will investigate all reports of retaliation in accordance with the appropriate complaints processes.

d. Residence Services values the principles of **Restorative Justice**, and uses **restorative practices** (as outlined in the procedures associated with this policy) to address harms caused by violations of this policy.

4. RESIDENT RIGHTS

Students living in residence at the University have the right to:

a. Be treated with dignity and respect;

b. A safe, secure environment, whether in private, shared, common or public space;

c. Pursue their academic goals, in accordance with the University's academic mission;

d. A living environment free from threats, fear, intimidation, discrimination, bullying, harassment or abuse;

e. Learn, study, and express beliefs, opinions and values, while respecting the safety, security, and dignity of other community members;

f. To celebrate their intersecting identities and expressions, such as cultural, gender, sexual, and religious identity and expression;

g. Access support staff and services available from Residence Services and the University of Alberta designed to support physical and/or mental health and wellness;

h. Communicate concerns to their peers, neighbours, roommates, **Residence Life staff**, or other University officials;

i. Enjoy the social benefits of living in a residence community and equal access to common areas and their contents;

j. Reasonable privacy and control of their private living space, within the limits of the *Residence Agreement*;

k. Have their personal property and possessions respected;

l. Be free from pressure to do anything unsafe, or anything that violates this policy, including their own rights and the rights of another;

m. An environment with noise levels conducive to academic pursuits, according to the guidelines established for each University residence community;

n. A living space that is clean and kept in good condition;

5. RESIDENT RESPONSIBILITIES

Students living in residence at the University have the responsibility to:

a. Treat other residents and staff members with dignity and respect, including in virtual environments;

b. Follow all safety procedures and contribute to maintaining a safe environment, and reporting any unsafe behaviour or conditions;

c. Foster a community in which all residents are free to pursue their academic goals, in accordance with the University's academic mission;

d. Work together toward an inclusive environment that acknowledges the existence of and harms caused by racism, sexism, classism, homophobia, transphobia, xenophobia, ableism or any other form of oppression, and an environment in which all members of the residence community are able to participate meaningfully in social, academic, and other activities;

e. Respect the rights of others to their beliefs, values and opinions;

f. Foster a community where diversity is respected and valued;

g. Manage their health and wellness and contribute to an environment that supports health and wellness;

h. Be respectful when communicating concerns to peers, neighbours, roommates, and staff, and participate constructively when engaging in conflict resolution;

i. Respect and abide by any **formal** or **informal agreements** made with other residents, Residence Life staff or **student staff**;

j. Share common spaces with other residents and refrain from monopolizing a communal space;

k. Take necessary means to maintain the security of the Residence community including upholding the integrity of entry points to their residence, securing their valuables, and reporting suspicious activity promptly to the appropriate authorities;

l. Respect the property of other residents and of the University;

m. Refrain from acting in a way that pressures others to be present with or take part in any acts that may make them uncomfortable, feel unsafe, or violate their rights under this policy;

n. Abide by the *House Rules* for their community (for example, French Language at Résidence Saint-Jean,, the Global Education program at International House, cohort and theme communities, noise designations, or cleanliness expectations);

o. Only use alcohol and other substances in a manner consistent with legislation, University policies, and the health and safety of themselves and others;

p. Assist in the upkeep of common areas by promptly cleaning up, using appropriate organics, recycling and waste receptacles, and by reporting facilities or equipment that are broken or dirty. Keep all private living spaces clean and in good condition;

In addition, residents are responsible for ensuring that their guests are informed of the above rights and responsibilities and behave accordingly. Residents will be held accountable for the actions of their guests, should those actions cause harm to an individual and/or the residence community.

Students who anticipate or observe a violation of this policy are encouraged to act to discourage or prevent the violation, to remove themselves from participation and bring the matter to the attention of Residence Life staff or student staff. These positive actions prevent or limit harm to the community.

6. RESIDENCE SERVICES RESPONSIBILITIES

Residence Services has responsibility to:

a. Foster a safe, secure and healthy environment conducive to academic success;

b. Strive to provide an environment attentive to, and that addresses, barriers to inclusion, access, and success;

c. Work together with residents towards an inclusive environment that acknowledges the existence of and harms caused by racism, sexism, classism, homophobia, transphobia, xenophobia, ableism or any other form of oppression, and an environment in which all members of the residence community are able to participate meaningfully in social, academic, and other activities

d. Provide students with information and resources on restorative practices, residence policies, and University resources;

e. Initiate the procedures associated with this policy;

f. Uphold the *Residence Agreement* signed by the resident;

g. Investigate allegations of behaviour violating this policy, the House Rules, or Residence Agreement in conjunction with University of Alberta Protective Services, where appropriate; and

h. Initiate charges under the *Code of Student Behaviour* or refer to University of Alberta Protective Services for charges under the *Code of Student Behaviour* where appropriate.

DEFINITIONS

Any definitions listed in the following table apply to this document only with no implied or intended institution-wide use.	
University Residence	Any student housing facility owned and operated by the University of Alberta. A comprehensive list of University residences is found on the Residence Services website.
Resident	A student who has signed a *Residence Agreement* with the University and who lives in residence.
Residence Agreement	The document signed by the resident and the University which defines the tenancy relationship.
University Community	Includes those who are employed by the University, who are officially associated with the University, and those who are students, former students, or alumni of the University.
Harm	The negative consequences that are caused by the actions of an individual or group of individuals. Harms can impact a person, their property and/or reputation, relationships, or the residence community.
House Rules	Document outlining day to day living expectations for residents living in specific residence communities.
Residence Student Associations	An organized body of elected student representatives from a residence community which facilitates opportunities for involvement and represents student interests in various University processes.
Restorative Justice	A framework of thinking about misconduct that focuses on the harms misconduct has on the community and its members. It involves all relevant parties, to the extent possible, in a restorative practice to collectively identify the harm(s) and work towards remedying said harm(s) while restoring trust between parties and within the community.
Restorative Practices	A method of engaging with individuals and the community that use restorative principles, often to facilitate a synchronous or asynchronous interaction. Examples include (but are not limited to) circles, talking circles, peacemaking circles, restorative meetings, and restorative conferences.
Residence Life Staff	Professional student affairs staff employed by Residence Services

Formal Agreement	A voluntary arrangement created between two or more parties where there is a commitment to an action or behavioural change and all parties have written documentation of the arrangement or when such an arrangement is created as part of a University or Residence Services process. Examples may include community resolutions, restorative agreements and roommate agreements.
Informal Agreement	A voluntary arrangement, often verbal in nature, created between two or more parties where the arrangement is not created within a University or Residence Services process and documentation is not provided to all parties. Examples may include where a neighbour agrees to turn down their music in the future, or a group of students commit to leaving a lounge by a certain time so another group can use the space.
Student Staff	Staff employed by Residence Services who are also University of Alberta students and often are residents. See the Residence Services website for residence-specific information about student staff.

RELATED LINKS

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Code of Student Behaviour
Discrimination, Harassment and Duty to Accomodate Policy
Information Technology Use and Management Policy
Office of Safe Disclosure and Human Rights
Office of the Student Ombuds
Residence Services Website for Current Residents
Sexual Violence Information and Resources
Sexual Violence Policy
University of Alberta Protective Services
University of Alberta Strategic Plan for Equity, Diversity, and Inclusion
University of Alberta Student Participation Process Handbook

PUBLISHED PROCEDURES OF THIS POLICY

Residence Community Standards Procedure

UNIVERSITY OF ALBERTA

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

Proposal

Original Approval Date: **(Effective Date:)** **Most Recent Approval Date:**

Most Recent Editorial Date:

Parent Policy: **Residence Community Standards Policy**

RESIDENCE COMMUNITY STANDARDS PROCEDURE

Office of Administrative Responsibility:	Vice-Provost and Dean of Students
Approver:	GFC (Student Conduct Policy Committee)
Scope:	Compliance with this University policy extends to anyone living or working in a University of Alberta Residence.

1. Purpose

This procedure establishes a fair and transparent process available for use to address cases of behaviour in violation of the *Residence Community Standards Policy* and based in part on the principles of **Restorative Justice**.

2. PROCEDURE

a. Upon becoming aware of an incident where a **resident**'s rights or responsibilities under the *Residence Community Standards Policy* have been violated, Residence Services will act to address the behaviour and the harm to the **community.**

b. INTERACTION WITH BREACH OF ***RESIDENCE AGREEMENT***

i. In all applicable circumstances the University may choose to act as **landlord** to address a breach of the *Residence Agreement*. Examples of these circumstances may include non-payment of funds, or issues of safety and security, including but not limited to disruptive, threatening or violent conduct. Further information is found in the *Residence Agreement* and online, and are not included in this document.

ii. In incidents where cases are addressed as a breach of the *Residence Agreement*, **restorative practices** may also be considered to address **harm** and rebuild trust when appropriate. In such a case, the breach of *Residence Agreement* decision by the landlord must be made and communicated to the **responsible party** before the restorative practice occurs. This sequence safeguards responsible parties from being part of a restorative practice in good faith and being surprised by additional consequences as a breach of the *Residence Agreement* afterwards.

c. INTERACTION WITH *CODE OF STUDENT BEHAVIOUR*

i. Incidents that are reported as violation of this policy that also describe a violation of the *Code of Student Behaviour* may be addressed both through the *Code of Student Behaviour* in accordance with the procedures established in the *Code of Student Behaviour* and this procedure.

ii. To the extent possible, a single process will be used to address incidents that are violations of both the *Residence Community Standards Policy* and the *Code of Student Behaviour*. There will be exceptions, and in those cases action under the *Code of Student Behaviour* will not preclude action under the Residence Community Standards Policy or Residence Agreement and vice versa.

d. INTERACTION WITH *SEXUAL VIOLENCE POLICY*

i. The *Sexual Violence Policy* and associated procedures always apply in situations involving a violation of the Sexual Violence Policy. Residence Life Staff will act in accordance with those procedures when a disclosure of sexual violence is received.

ii. Violations of the Sexual Violence Policy may also be a breach of the *Residence Agreement*.

3. PROCEDURES FOR REPORTING

a. Upon becoming aware of an incident, a **Residence Life staff** or **student staff** member will initiate the appropriate Residence Life reporting process.

b. Community Resolution Process:

i. If an incident is assessed to be resolvable through a restorative discussion with the resident(s) who caused the incident, a **community resolution** may be developed with the resident(s).

ii. In the case where a community (floor, unit, stairwell, etc) has engaged in behaviour contrary to the *Residence Community Standards Policy* a Residence Life staff or student staff may hold a restorative discussion with the group in order to develop a community resolution.

iii. Community resolutions will be documented and provided to the residents involved. A community resolution should:address the harms and include an agreement of **repairs**. In order to be binding, community resolutions can only include residents who are reasonably able to make an agreement (in a small enough group to be included in the discussion agreement, not intoxicated,

iv. If an incident is assessed to be resolvable in that moment through a restorative practice that includes the **harmed party** and responsible party, a Residence Life staff or student staff member may facilitate an immediate restorative practice. The resulting **restorative agreement** will be documented in a community resolution and provided to all involved parties.

c. Incidents that are not resolved in a community resolution, must be documented in an **incident report**. An incident report may describe a single incident, multiple incidents that had not previously been documented, or refer to a situation where previous community resolutions have not resolved the issue.

d. Upon receiving an incident report, Residence Life Staff will make an assessment as follows:

i. If the incident report details an incident that could be addressed either through restorative practices or as a breach of the *Residence Agreement*, an internal investigation will be initiated, as needed.

ii. If the incident report details an incident that is a serious and substantial breach of the *Residence Agreement*, the incident will be forwarded to the landlord or designate for a decision under a breach of *Residence Agreement.*

iii. If the incident report describes a violation of the *Code of Student Behaviour*, the matter may be handled in accordance with the procedures established in the *Code of Student Behaviour*.

iv. If the incident report describes a violation of the *Sexual Violence Policy*, the matter will be handled in accordance with the procedures established in the *Sexual Violence Policy*.

e. Repeated Behaviour

i. In cases where residents have developed multiple community resolutions with Residence Life staff about similar behaviour, further behaviour of the same nature may be addressed through other restorative practices or as a breach of the *Residence Agreement*.

4. PROCEDURES FOR INTERNAL INVESTIGATIONS

a. Internal investigators may be Residence Life staff, student staff or University of Alberta Protective Services. The original author of the incident report must not be the individual conducting the investigation.

b. The investigator will conduct a procedurally fair investigation, gathering available relevant information about the incident, which may include collecting witness statements and documenting physical evidence. The investigator will document a written summary of their investigation, including any discussions with the resident who is the subject of the incident report, the author of the incident report, and other individuals involved. If the identity of the responsible party(ies) is unknown, the investigation will begin by attempting to establish the identity of the person(s) who caused the harm.

c. If at any point during the investigation it becomes apparent that the incident is of a more serious or complex nature, the investigator will return the matter to the landlord or designate to be addressed as a breach of the *Residence Agreement* or for investigation under the *Code of Student Behaviour.*

d. Internal investigations will normally be completed within 15 business days. In extenuating circumstances, discretion to allow more time shall lie with designated Residence Life staff.

e. Where the incident report requires no further investigation and/or the parties agree to the facts of the case, Residence Life staff may forgo further investigation and proceed to make a decision on which process will be used to resolve the issue.

5. PROCEDURES FOR ROUTING

a. Restorative practices are used to address incidents within **University residences**. An incident qualifies for a restorative practice if it meets all of the following criteria:

i. The identity of the responsible party is known;

ii. The responsible party is willing to participate in a restorative practice;

iii. Harm to an individual, the community, or to property can be identified; and

iv. The nature of the incident is appropriate for use of restorative practices (see section 6.e. “Limits on Restorative Practices”)

b. The designated Residence Life staff member may make a determination to route a matter to be addressed as a breach of the Residence Agreement when:

i. The criteria for restorative practices are not met;

ii. One or more of the parties withdraw from the restorative practice;

iii. The parties are unable to come to a restorative agreement;

iv. The responsible party fails to fulfill the restorative agreement; and/or

v. The nature of the incident is better suited to be addressed under the Residence Agreement.

c. The designated Residence Life staff member's decision as to which process will be followed is not subject to reconsideration.

6. RESTORATIVE PRACTICES

a. Restorative Justice and restorative practices are rooted in Indigenous ways of knowing, being, doing, and relating. Residence Services is committed to continuous learning and incorporation of Indigenous perspectives, values, and cultural understandings in restorative practices and the training of **restorative facilitators**.

b. Restorative practices are available for use in residence to:

    i. Build community relationships, generate respectful dialogue, and develop empathy prior to any violation of policy

    ii. Address unacceptable behaviour, resolve issues, and provide repairs in a positive and constructive way

    iii. Provide community rebuilding and healing after an incident of any type in residence.

c. Restorative practices are a framework, not a rigid procedure. Restorative practices by design take into account the situation and individuals involved. Restorative practices are guided by these principles:

    i. Involving those with a legitimate stake in the situation, which may include harmed parties, responsible parties, and community members

    ii. Respect for all parties

    iii. Voluntary involvement for all parties

    iv. Providing all parties a chance to tell their story (storytelling/truth-telling)

    v. Participatory decision making

    vi. Valuing the relationships between individuals

d. When a restorative practice occurs as response to an incident where harm occurred it is guided by these additional principles:

    i. Providing an opportunity for dialogue, which can be direct or indirect, between responsible parties and harmed parties as desired by all parties (voluntary involvement)

    ii. Focus on the harms (and consequent needs) of harmed parties first of all, but also the needs of the community and those who are causing or who caused harm.

    iii. Aims for mutually agreed upon outcomes that put things right to the extent possible and rebuilding trust lost as a result of the harm

    iv. Promotes responsibility, reparation, and healing for all parties.

e. Limits on restorative practices under these procedures:

    i. Some incidents may not be appropriate for response through restorative practices, where the possibility of additional harm is deemed to be prohibitively high. The merits of restorative justice in cases of significant harm are well recognized and this procedure supports healing through restorative practices should appropriately trained facilitators be available.

f. Where all of the principles of restorative practices do not apply, Residence Life staff may proceed with addressing the harm and impact on the community, using as many of the restorative principles as possible.

7. PROCEDURES FOR RESTORATIVE PRACTICES

a. Trained restorative facilitator(s) will design a restorative practice appropriate for the situation and individuals, guided by the principles of restorative practices and their training. Examples of a restorative practice may include

(but are not limited to) a **restorative meeting**, **restorative conference**, and asynchronous letter exchange. Possible components of a restorative practice are outlined below.

b. Participants in a restorative practice may include:

   i. One or more restorative facilitators depending on the needs of the situation;

   ii. Responsible party(ies);

   iii. Harmed party(ies);

   iv. One support person for the responsible party(ies) and the harmed party(ies), where appropriate and applicable; and

   v. Community members, when appropriate.

c. Restorative practices may take place synchronously with a facilitated encounter or asynchronously (options for asynchronous participation may include letter, voice message, or video exchanges between parties through a facilitator).

d. The restorative practice will provide parties the opportunity to recount their experience and share their perspective.

e. After each party is satisfied that their perspective has been heard, the facilitators will facilitate a discussion or exchange in which the participants will collectively seek to identify the harms in need of repair, both to individuals and to the community.

f. When the list of harms is complete to the satisfaction of all parties, the participants will work together to generate options for restorative repairs. A repair must function to remedy an identified harm and/or rebuild trust, and be:

   i. Appropriate, relevant, and commensurate to the harm caused;

   ii. Fair and agreeable to all parties;

   iii. Realistic and achievable; and

   iv. Specific and objective enough to be measurable.

g. When all parties agree to repair(s) that will satisfactorily address the harms and/or rebuild trust, a facilitator will write the agreed upon repair(s) into a restorative agreement. The restorative agreement will include, at minimum:

   i. A list of the participants and their roles in the restorative practice;

   ii. A list of agreed repairs to remedy the harm done;

   iii. A required completion date; and

   iv. Where appropriate, the name of the Residence Life staff or student staff mentoring and/or following up on the agreed actions.

h. The participating facilitator(s), responsible party(ies), harmed party(ies), and community members (where appropriate) will sign the restorative agreement. The restorative agreement will become the official document of this process. Copies of the restorative agreement will be provided to:

   i. The responsible party(ies);

   ii. The harmed party(ies); and

   iii. Residence Services.

i. In cases where the restorative agreement is not feasible, or where it is in conflict with University policies or municipal, provincial, or federal law, the facilitator will reconvene the group to change the repairs.

j. Designated Residence Life staff or student staff will follow up with the responsible party(ies) to ensure the terms of the restorative agreement are fulfilled. If a responsible party fails to complete the agreed repairs listed on the restorative agreement by the date specified, the matter will be considered a breach of the *Residence Agreement* and addressed as such.

k. If at any point during the restorative practice, it becomes apparent that the criteria as listed in section 5. a. are no longer being met or if no restorative agreement can be reached, the facilitators will adjourn the restorative practice and the matter will be returned to the designated Residence Life staff to make a decision regarding the process according to section 5 of this procedure.

8. CONFIDENTIALITY AND RECORDS

a. Residence Life staff and student staff have a responsibility to conduct themselves in accordance with the principles of privacy set out in provincial legislation and their employment confidentiality agreement.

b. The intention of the confidentiality agreement is to allow both parties to share freely in a restorative practice, without fear of reprisal or embarrassment. This information shared in a restorative practice and through the actions of the restorative agreement will not be used in other University disciplinary processes.

c. Confidentiality agreements are only required in the case of a voluntary restorative meeting or restorative conference, prepared and facilitated by trained RJ facilitators so that participants may feel safe discussing potentially personal impacts and contexts.

d. Participants in a restorative practice will be required to sign a confidentiality agreement before the practice begins and are required to uphold that agreement. Violations of confidentiality may harm the involved parties, and will be addressed as a violation of the *Residence Community Standards Policy* and addressed through these procedures and/or addressed under the *Code of Student Behaviour*.

e. Records created in the execution of these procedures will be managed in accordance with the University *Records Management Policy* and *the Alberta Freedom of Information and Protection of Privacy Act and Regulations*.

DEFINITIONS

Any definitions listed in the following table apply to this document only with no implied or intended institution-wide use.	
Restorative Justice	A framework of thinking about wrongdoing that frames offences as a harm and uses restorative practices to involve, to the extent possible, those who have a stake in a specific offence or harm to collectively identify and address harms in order to heal and put things as right as possible.
Resident	A student who has signed a *Residence Agreement* with the University and who lives in residence.
University Community	Includes those who are employed by the University, who are officially associated with the University, and those who are students, former students, or alumni of the University.
Residence Agreement	The document signed by the resident and the University which defines the tenancy relationship.

Landlord	An official who acts on behalf of the University of Alberta in enforcing the terms of the *Residence Agreement*
Restorative Practices	A method of engaging with individuals and the community that use restorative principles, often to facilitate a synchronous or asynchronous interaction. There is a determined purpose for a restorative practice. Examples include (but are not limited to) circles, talking circles, peacemaking circles, restorative meetings, and restorative conferences.
Harm	The negative consequences that are caused by the actions of an individual or group of individuals. Harms can impact a person, their property and/or reputation, relationships, or the residence community.
Responsible Party	A resident whose actions or behaviours have harmed another person, the community, or the institution and/or have violated the rights and responsibilities of residents (Sections 4 & 5 of this policy)
Residence Life Staff	Professional student affairs staff employed by Residence Services
Student Staff	Staff employed by Residence Services who are also University of Alberta students and often are residents.See the Residence Services website for residence-specific information about student staff.
Community Resolution	A restorative practice used to address community issues in situations where residents take responsibility and voluntarily take part in a restorative discussion that leads to a resolution of the issue. Community resolutions result in an agreement for immediate and future behaviour that resolves the issue and are expected to be upheld by all parties. It may be: a. The outcome of a discussion based on restorative principles between Residence Life Staff or student staff and an individual resident or group of residents concerning an incident or behaviour. A written notification serves as confirmation of the discussion and resulting agreement; or b. The outcome of a discussion based on restorative principles between Residence Life Staff or student staff and a residence community (e.g. floor, unit, stairwell) concerning a pattern of behaviour. A written summary serves as confirmation of the discussion and resulting agreement.
Repairs	A response or remedy to harm, with a goal to put things right. Can be concrete and/or symbolic. Repairs are decided with voluntary agreement of the responsible party. Repairs may also include actions of the community or Residence Services that are needed to address the harms. While repairs might be difficult, they should not be intended to harm.
Harmed Party	A person who was either harmed directly or is representative of a community to which harm was done.

Restorative Agreement	An agreement created through a restorative practice which outlines the actions the respondent(s) will take to restore the community and/or rebuild trust, either by concrete repairs or symbolic action. The agreement must be agreed upon by the facilitator(s), the respondent(s) and the harmed party(ies) participating in the restorative practice.
Incident Report	A written record of an incident. Not all incident reports need to refer to violations of the Residence Community Standards Policy. Incident reports can also be used to document a resident emergency (such as first aid treatment) or health and safety concerns.
University Residence	Any student housing facility owned and operated by the University of Alberta. A comprehensive list of University residences is found on the Residence Services website.
Restorative Facilitator	Any university staff member or student staff trained in facilitation of restorative practices and/or restorative justice.
Restorative Meeting	A restorative practice which involves a facilitator, a harmed party and a responsible party, with the aim to come to a restorative agreement created and signed by the parties. A restorative meeting may be spontaneous or planned, and may occur before or after documentation (such as an incident report) is filed.
Restorative Conference	A restorative practice which involves up to two facilitators, and may involve multiple responsible party(s) and/or harmed party(ies), and support person(s), with the aim to come to a restorative agreement created and signed by the parties.

FORMS

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No Forms for this Procedure

RELATED LINKS

Records Management Policy

Example Confidentiality Agreement Information Doc

UNIVERSITY OF ALBERTA

Proposal

Example Restorative Practice Confidentiality Agreement Information Document

Restorative Practices Confidentiality Agreement

For a restorative practice to be effective it is necessary and fundamental that confidentiality be protected and preserved, including as provided for under Alberta's Freedom of Information and Protection of Privacy (FOIPP) legislation. The intention of the confidentiality agreement is to allow both parties to share freely in a restorative practice, without fear of reprisal or embarrassment. This information shared in a restorative practice and through the actions of the restorative agreement will not be used in other University disciplinary processes.

Participants may not disclose to anyone confidential information gained during the course of a restorative practice except to the extent required or permitted by law. Processes for resident violations of this confidentiality agreement are outlined in Section 8.b. of the *Residence Community Standards Procedures*: "Violations of confidentiality may harm the involved parties, and will be addressed as a violation of the *Residence Community Standards Policy* and addressed through these procedures and/or addressed under the *Code of Student Behaviour*."

Records of restorative practices are the property of the University and shall be retained and disposed of in accordance with the University *Records Management Policy* and *The Alberta Freedom of Information and Protection of Privacy Act and Regulations*. The university is permitted to disclose confidential information in cases where the non-disclosure of the information would present a risk to an individual, the public, or the University community. Disclosures of information from a restorative practice by the university are rare and only in accordance with sections 39 and 40 of *The Alberta Freedom of Information and Protection of Privacy Act.*

By signing below, you agree that your participation in the restorative practice will be governed by this agreement and that you have the responsibility to maintain confidentiality.

DATED THIS_____ DAY OF_____ 20__

Printed Name	Signature
Printed Name	Signature
Printed Name	Signature

Protection of Privacy - Personal information provided is collected in accordance with Section 33(c) of the Alberta *Freedom of Information and Protection of Privacy Act* (the FOIP Act) and will be protected under Part 2 of that *Act*. It will be used for the purpose of ensuring confidentiality under the Residence Community Standards Policy and Procedure. Should you require further information about collection, use and disclosure of personal information, please contact*:* Manager of Residence Life and Education, Lister Centre 11605-87 Avenue NW Edmonton, Alberta T6G 2H6, 780-492-3345.

University of Alberta Policies and Procedures Online (UAPPOL) Document
Last Update: February 2, 2022
Office of Administrative Responsibility: Vice-Provost and Dean of Students
Parent Document: Residence Community Standards Policy

UNIVERSITY OF ALBERTA RESIDENCE COMMUNITY STANDARDS POLICY

I. PREAMBLE

The primary objective of all University of Alberta Residences is to support the successful pursuit of academic studies. Living in residence provides many personal and social benefits; correspondingly, all Residents are jointly responsible for a comfortable, safe, and secure living environment conducive to academic study and learning.

The tenancy relationship between the University of Alberta ("the University") and Residents is contractual, governed by the Residence Agreement, which is administered by Residence Services and signed by the Resident. This policy forms one aspect of that tenancy relationship. It in no way restricts the University from enforcing the Residence Agreement, which may include eviction or other consequences.

A. PRINCIPLES

This policy outlines expectations for community living in an academic environment. It is based on four principles:

a) It affirms the freedoms recognized in the Code of Student Behaviour, Section 30.1;

in particular, the freedom to create, learn, study, associate, speak and write, and the associated obligations to respect these freedoms exercised by others;

b) Every individual is equal in worth and dignity and possesses the same rights and opportunities, free from discrimination and harassment;

c) Residence Services exists to support the academic mission of the University, allowing all students the living environment necessary to work toward their academic goals; and

d) Residents can expect a fair and transparent process, regardless of the route taken, and have the right to seek external advice and support to affirm these processes.

B. PURPOSE

This policy assists in outlining expectations for appropriate behaviour for students living in the University Residences in order to maintain a high standard of cooperative living in an academic setting. All University Residences are subject to this policy. It applies to every Resident in any University Residence facility, whether it is their home residence or one in which they are a guest. This policy strives to balance interests of the Residents with the needs of the residence community, a community which is made up of individuals from diverse backgrounds, with a wide range of beliefs, opinions and values. It comprises four main objectives:

a) To promote behaviour among Residents and their guests that creates an environment supportive to academic study and learning.

b) To protect Residents' well-being and property, as well as that of the University.

c) To encourage Residents to participate in the betterment of their community by resolving issues together in a responsible manner, with the goal of repairing harm and rebuilding the community.

d) To foster growth, self-discipline, and accountability by helping Residents to understand how their actions and behaviours, both in real life and virtual environments, affect others so that they can make better decisions in the future.

C. PROCESS

1. This policy establishes a fair and transparent process based in part on the principles of Restorative Justice. The Restorative Justice process is available for use in cases of negative, disruptive, or inappropriate behaviour where the conditions laid out in this policy are met.

This policy provides a framework to:

a. Recognize and prevent unacceptable behaviour in the Residence Community, and

b. Resolve issues and provide remedies in a positive and constructive way for behaviour that harms the Residence Community or individual(s) within the Community.

2. This policy fits within a network of interconnected documents, policies and procedures related to Residences, including:

a. The Residence Agreement (see "Information for Students on the Residence Agreement", located on the Residence Services website);
b. Residence-specific rules on the Residence Services website, jointly approved by the University and the Residence Students' Associations;

c. The Code of Student Behaviour, available online;

d. The Application for Residence;

e. The Residence Services acceptance letter and package;

f. The Housing Telephone Service Agreement, where applicable;

g. The Residence Internet Service Agreement, where applicable; and

h. Various other policies, rules and regulations adopted by the University, including as Landlord, from time to time.

3. Residents are also members of the University Community and are therefore also subject to the Code of Student Behaviour at all times.

4. Residence Services will report annually with respect to this policy to the GFC Campus Law Review Committee (CLRC) in accordance with the CLRC Terms of Reference. A formal review of the policy and procedure will occur after the first and second years of operation and periodically thereafter as required by CLRC. The review will be conducted by a group of key stakeholders, including students and staff.

II. RIGHTS AND RESPONSIBILITIES

A. RESIDENT RIGHTS

Students living in residence at the University have the right to:

a. Be treated with dignity and respect;

b. A safe, secure environment, whether in private, shared, common or public space;

c. A living environment free from threats, fear, intimidation, harassment or abuse;

d. Learn, study, and express beliefs, opinions and values, while respecting the safety, security, and dignity of other community members;

e. Communicate concerns to their peers, neighbours, roommates, Residence Life staff, or other University officials;

f. Enjoy the social benefits of living in a residence community and equal access to common areas and their contents;

g. Privacy and control of their private living space, within the limits of the Residence Agreement;

h. Have their personal property respected;

i. An environment with noise levels conducive to academic pursuits, according to the guidelines established for each University Residence community; and

j. Be free from pressure to do anything unsafe, or anything that compromises their dignity or that of another.

B. RESIDENT RESPONSIBILITIES

Students living in residence at the University have the responsibility to:

a) Treat other Residents and staff members with dignity and respect, including in virtual environments;

b) Respect the property of other residents and of the University;

c) Respect the rights of others to their beliefs, values and opinions, whether or not they agree;

d) Foster a community in which all Residents are free to pursue their academic goals, in accordance with the University's academic mission;

e) Be respectful when communicating concerns to peers, neighbours, roommates, and staff, and participate constructively when engaging in conflict resolution;

f) Comply with all safety procedures and contribute to maintaining a safe environment;

g) Respect and abide by any formal or informal agreements made with other residents, Residence Life staff or Student Staff;

h) Only use alcohol or other drugs in a manner consistent with legislation, University policies, their own health and safety, and the health and safety of others;

i) Act in a way that conforms to the Residence specific rules (for example, French Language at Residence Saint-Jean, the alcohol-free environment at Augustana, the Global Education

program at International House, cohort and theme communities, noise designations, cleanliness expectations and other rules as outlined on the Residence Services website);

j) Contribute to an inclusive environment in which all members of the Residence

Community are allowed to participate in social, academic, and other activities.

In addition, Residents are responsible for ensuring that their guests are informed of the above rights and responsibilities and behave accordingly. Residents will be held accountable for the actions of their guests, should those actions cause Harm to an individual and/or the residence community.

C. RESIDENCE SERVICES RESPONSIBILITIES

Residence Services has responsibility to:

a) Foster a safe, secure and healthy environment conducive to academic success;

b) Provide students with information and resources on Restorative Justice and the processes employed, and University resources;

c) Initiate the Restorative Justice process under this policy;

d) Enforce the Residence Agreement signed by the Resident;

e) Investigate allegations of negative, inappropriate, or disruptive behaviour in conjunction with University of Alberta Protective Services, where appropriate; and

f) Initiate charges under the Code of Student Behaviour where appropriate.

III. PROCEDURES FOR INSTANCES IN WHICH COMMUNITY STANDARDS HAVE NOT BEEN MET

A. PROCEDURE FOR REPORTING AND ROUTING AN INCIDENT TO THE APPROPRIATE PROCESS

1) These procedures do not apply in circumstances where the University acting as Landlord addresses a breach of the Residence Agreement relating to non-payment of funds, or to issues of safety and security, including but not limited to disruptive, threatening or violent conduct.

2) Upon becoming aware of an incident, a Residence Life or Student Staff member will initiate the Residence Life reporting process.

3) Minor Incidents: If an incident is assessed by either a Student Staff Member or a Residence Life Staff member to be of a Minor nature, that staff member may simply resolve the situation through a discussion with the Resident; that is, develop a Community Resolution.

4) In the case where a community (floor, unit, stairwell, etc) is engaging in behaviour contrary to the Community Standards, a Residence Life staff member may hold a restorative discussion with the group in order to develop a Community Resolution.

5) Incidents that are not considered Minor, or that have not already been resolved in a Restorative Meeting, must be documented in an Incident Report. An Incident Report may describe a single incident or refer to multiple Community Resolutions with a Resident which have not solved the issue.

6) Upon receiving an Incident Report, the Residence Area Coordinator will make an assessment as follows:

i) If the Incident Report details an incident that could be addressed either through the Restorative Justice process or as a breach of the Residence Agreement, an internal investigation will be initiated as needed.

ii)) If the Incident Report describes a violation of the Code of Student Behaviour, and the criteria for the Restorative process as identified in this policy are not met, the matter will be handled in accordance with the procedures established in the Code.

B. PROCEDURES FOR INTERNAL INVESTIGATIONS

1) Each University Residence is required to establish and communicate a means of appointing internal investigators. They may be Residence Life Staff, Student Staff or University of Alberta Protective Services. The original author of the Incident Report must not be the individual conducting the investigation.

2) Investigations will be conducted according to the principles of natural justice. The investigator will gather available relevant information about the incident, including collecting witness statements and documenting physical evidence. The investigator will provide a written summary of discussions with the Resident who is the subject of the Incident Report, the author of the Incident Report, and other individuals involved. If the identity of the Resident is unknown, the investigation will begin by attempting to establish the identity of the person(s) who caused the Harm.

3) If at any point during the investigation it becomes apparent that the incident is of a more serious or complex nature, the investigator will return the matter to the Residence Area Coordinator, who will make a decision regarding process according to Item III B.7) of this policy.

4) Internal investigations will normally be completed within 14 calendar days. In extenuating circumstances, discretion to allow more time shall lie with the Residence Area Coordinator. Once completed, the investigation report will be submitted to the Residence Area Coordinator.

5) Where the Incident Report requires no further investigation and/or the parties agree to the facts of the case, the Residence Area Coordinator may forego further investigation and proceed to make a decision on which process will be used to resolve the issue.

6) The Restorative Justice process will be the preferred process for incidents within University Residences. An incident qualifies for a Restorative Meeting or Restorative Conference if it meets all of the following criteria:

a) The identity of the Resident who committed the infraction is known (hereafter referred to as the Respondent);

b) That Resident is willing to participate in a Restorative Justice process;

c) The Harmed Party(ies) is/are willing to participate either in person, by providing an Impact Statement or by designating a representative;

d) Harm to an individual, the community or property can be identified; and

e) The nature of the incident is appropriate to the Restorative Justice process.

7) In cases where the criteria for the Restorative Justice Process, as outlined above, are not met, the Residence Area Coordinator make a final determination as to process. Incidents not addressed under the Restorative Justice process will be:

a) Forwarded to the Landlord for consideration, if the incident is a breach of the Residence Agreement, or

b) Handled in accordance with the procedures established in the Code of Student Behaviour, if the incident details a violation of the Code.

The Residence Area Coordinator's decision as to which process will be followed is not subject to appeal.

C. PROCEDURES FOR RESTORATIVE JUSTICE PROCESSES

1) In all cases where the criteria for Restorative Justice are met, it shall be preferred over other processes.

2) The following procedures will be followed at the Restorative Conference (see Appendix B for further guidelines on facilitating the Restorative Conference.)

i) The Conference will be co-facilitated. Participants in the process will include two Facilitators, the Harmed Party(ies), either in person or by Impact Statement, and the Respondent(s).

ii) The Respondent(s) and the Harmed Party(ies), where applicable, may each bring one support person. The support person will be allowed to participate in the discussions but is not a signatory to the Restorative Agreement.

iii) If at any point during the Conference, it becomes apparent that the criteria as listed in Item III B. 6) are no longer being met, the Facilitators will adjourn the Conference and the matter will be returned to the Residence Area Coordinator, who will make a decision regarding process according to Item III B.7) of this policy.

iv) After each party is satisfied that his or her perspective has been heard, the Facilitators will facilitate a discussion in which the participants will collectively seek to identify the Harms in need of remedy, both to individuals and to the community.

v) When the list of Harms is complete to the satisfaction of the participants, the group will work together to generate options for restorative remedies (see Appendix D for examples of possible restorative remedies). A remedy must function to repair an identified Harm and/or rebuild trust, and be:

a. Appropriate, relevant, and commensurate to the harm caused;

b. Fair and agreeable to all parties;

c. Realistic and achievable; and

d. Specific and objective enough to be measurable.

vi) When all parties agree to remedy(ies) that will satisfactorily address the Harms and/or rebuild trust, a Facilitator will write the agreed upon remedy(ies) into a Restorative Agreement (see Appendix E for an example Restorative Agreement). The Restorative Agreement will include, at a minimum:

a. A list of the participants and their roles in the Restorative Conference;

b. A list of agreed remedies to repair the Harm done; and

c. A required completion date.

vii) The Facilitators, the Respondent(s) and the Harmed Party(ies) will sign the Restorative Agreement. Where a Harmed Party has participated by Impact Statement, a Facilitator will sign

on behalf of the Harmed Party. The Restorative Agreement will become the official document of this process; all other notes generated during the meeting will be destroyed. Copies of the Restorative Agreement will be provided to:

a. The Respondent(s);

b. The Harmed Party(ies); and

c. Residence Services.

viii) In cases where the Restorative Agreement is not feasible, or where it is in conflict with University policies or municipal, provincial or federal law, the Residence Area Coordinator will contact the Coordinator to reconvene the group and change the remedies.

ix) Residence Life Staff or Student Staff will follow up with the Respondent(s) to ensure the terms of the Restorative Agreement are fulfilled. If a Respondent fails to complete the agreed remedies listed on the Restorative Agreement by the date specified, the matter will be considered a breach of the Residence Agreement and the Residence Area Coordinator will forward it to the Landlord.

i) If no agreement can be reached, the Facilitators will return the matter to the Residence Area Coordinator, who will make a decision regarding process according to Item III B.7) of this policy.

IV. LINKS

Residence Services Web for Current Residents

https://www.residence.ualberta.ca/current-residents

Residence Specific Information including: Community Standards, Residence Agreement, etc.

https://www.residence.ualberta.ca/current-residents/community-standards

Code of Student Behaviour

http://www.governance.ualberta.ca/CodesofConductandResidenceCommunityStandards/

Student OmbudService

http://www.ombudservice.ualberta.ca/

IV. DEFINITIONS

1) Community Resolution – A Restorative Justice process for Minor Incidents or community issues. It may be:

a. The outcome of a discussion between Residence Life Staff or Student Staff and an individual Resident concerning a Minor Incident. A written notification serves as confirmation of the discussion; or

b. The outcome of a discussion between Residence Life Staff or Student Staff and a residence community (e.g. floor, unit, stairwell) concerning a pattern of behaviour. A written summary serves as confirmation of the discussion.

2) Facilitator - A member of Residence Life staff or Student Staff that facilitates a Restorative Justice process within Residence. Normally, Community Resolutions are facilitated by Resident Assistants (RAs), Restorative Meetings are facilitated by Senior Resident Assistants (SRAs) or Residence Coordinators (RCs), and Restorative Conferences are co-facilitated by two Residence Coordinators (RCs) or a Residence Coordinator (RC) and a Senior Resident Assistant (SRA).

3) Harm – Any action which negatively affects a person, their property and/or reputation, or the Residence community for which concrete or symbolic reparation can be made.

4) Harmed Party – A person who was either harmed directly or is representative of a community to which harm was done.

5) Incident Report – A written record of an incident. Not all Incident Reports need to refer to contraventions of the Community Standards. An Incident Report can also document a series of lower level interventions which have not changed a behaviour, or document the need for a repair, for example.

6) Impact Statement – A written description of the effect or harm caused by a particular behaviour or pattern of behaviours, submitted by a Harmed Party in lieu of participating in a Restorative Conference in person.

7) Landlord – An official who acts on behalf of the University of Alberta in enforcing the terms of the Residence Agreement.

8) Minor Incidents – Incidents in which the Harm is to the community in general, and which can be resolved with a Community Resolution, or incidents in which an individual Harmed Party agrees that a Community Resolution is appropriate and he or she does not need to be involved in the outcome. Examples may include, but are not limited to, occasional noise complaints, cleaning issues, garbage disposal, etc.

9) Residence Agreement – The document signed by the Resident and the University which defines the tenancy relationship.

10) Residence Area Coordinator – The individual who oversees the implementation of the restorative process and makes the decision as to which policy will be applied when an incident occurs.

11) Residence Life Staff - Professional student affairs staff employed by Residence Services, including but not limited to: Residence Coordinators (RCs), Residence Administrators, Residence Area Coordinators (RACs), and the Assistant Dean of Students -Residence Life.

12) Residence Students' Association – An organized body of student representatives in each residence community which facilitates opportunities for involvement and represents student interests in various University processes. An umbrella organization, the Residence Halls Association (RHA), provides a unified voice on behalf of University residents. The RHA (or delegated group) may stand in for any University Residence which does not have a students' association.

13)Resident – A student who has signed a Residence Contract with the University and who lives in Residence.

14)Respondent – A participant in the Restorative Justice process whose actions or behaviours have harmed another person, the community or the institution.

15) Restorative Agreement – An agreement between Facilitator(s), Respondent(s) and Harmed Party(ies), which outlines the actions the Respondent(s) will take to restore the community and/or rebuild trust, either by concrete remedies or symbolic action. The Agreement must be agreed upon by the Facilitator(s), the Respondent(s) and the Harmed Party(ies).

16) Restorative Conference – A Restorative Justice process which involves two Facilitators, and may involve multiple Respondent(s) and/or Harmed Party(ies), and support person(s). A successful Restorative Conference results in a Restorative Agreement created and signed by the parties.

17) Restorative Justice – A voluntary process that emphasizes repairing the Harm caused to individuals or the community and rebuilding trust lost as a result of the Harm caused. It entails the participation of both the person(s) who caused the Harm and the Harmed Party(ies) in a facilitated process in which all parties generate and agree to the resolution.

18) Restorative Meeting – a Restorative Justice process which involves a Facilitator, a Harmed Party and a Respondent. A Restorative Meeting may be spontaneous or planned, and may occur before or after an Incident Report is filed. A successful Restorative Meeting results in a Restorative Agreement created by the parties.

19) Student staff –Staff employed by Residence Services who are also students and Residents, including but not limited to: Resident Assistants (RAs) and Senior Resident Assistants (SRAs) and Residence Interns. See the Residence Services website for residence-specific information about student staff.

20) University Community - Includes those who are employed by the University, who are officially associated with the University, and those who are Students, former Students, or alumni of the University.

21) University Residence – Any student housing facility owned and operated by the University of Alberta. A comprehensive list of University Residences is found on the Residence Services website.

APPENDIX A – Example Documentation for Community Resolutions

A Community Resolution can take many forms, but the outcome must be documented using an approved Residence Services system. The student must also be informed of the Community Resolution in writing. Below are several suggestions on how documentation can be composed.

Subject: Community Resolution (CR)

Hi [student], (copied to RC)

Just following up on the conversation we had yesterday: I wanted to thank you for agreeing to wash your dishes, and also for your willingness to consider the rest of unit, and your effect on them.

Please do not hesitate to contact me for any reason.

For more information on Restorative Justice please visit the Residence Services website.

Here are some additional resources:

Student OmbudService

Office of Safe Disclosure and Human Rights

Sincerely,

[name]

******

Subject: Community Resolution (CR)

Hi RC, (copied to student)

I had a very productive chat with [student, unit #] last night in which she agreed to wash her dishes within two hours of cooking from now on.

*****

Floor or Unit Community Resolution (CR)

Thanks, everyone, for meeting with me last night. As a recap of our discussion, we all agreed that Sundays will be our cleaning day, and we will divide up the duties as follows: …

For more information on Restorative Justice please visit the Residence Services website.

Here are some additional resources:

Student OmbudService

Office of Safe Disclosure and Human Rights

*****

Hi [student], (copied to RC)

Just following up on our conversation from this morning – I understand you did not intend to disturb your neighbour by playing your stereo last night and that you feel that the complaint was unreasonable. I remind you that quiet hours are from 11pm to 7am, but it is clear that people don't always agree on the level of noise acceptability. If you'd like, I could sit down with the two of you and try to help you come to a compromise that works for both of you.

Let me know what I can do to help!

For more information on Restorative Justice please visit the Residence Services website.

Here are some additional resources:

Student OmbudService

Office of Safe Disclosure and Human Rights

[Note: this is not a CR, but an offer to facilitate an agreement between two students.]

APPENDIX B – Suggested Guidelines for Chairing Restorative Conferences

In addition to the procedures outlined in the Community Standards Policy, this document provides guidelines for ensuring that a Restorative Conference is effective and productive for participants.

1) The co-Facilitators will divide up the duties below as they see fit.

2) A Facilitator will review the process to ensure everyone understands how it will work, and will confirm with all parties that they are acceptable as facilitators of the discussions and Restorative Agreement.

3) A Facilitator will lead the participants in establishing ground rules for the meeting. Ground rules the participants agree on might include, but are not limited to:

- Participants will refrain from interrupting when a participant is speaking:
- Participants will not to discuss the matter during breaks in the meeting;
- Participants will agree to seek clarification from a Facilitator when they do not understand a statement or procedure.

4) A Facilitator will confirm with all parties that their attendance is voluntary, that they have signed the Confidentiality Agreement, and that they understand and are willing to participate in the restorative process in good faith and under the guidelines agreed upon. If at any point a participant no longer wishes to participate in the process for any reason, he or she must inform a Facilitator. The Facilitator will adjourn the meeting and return the matter to the Residence Area Coordinator, who will make a decision regarding process according to Item III B.7) of this policy.

5) A Facilitator will either read aloud or summarize the Investigation Report or Incident Report for participants.

6) Once the incident is understood, the Harmed Party(ies) will be invited, one at a time, to describe the impact of the incident on them, their community, their property, or any other Harm. If a Harmed Party opts to participate by submitting an Impact Statement, a Facilitator will read that statement aloud to the other participants.

7) Participants can pose questions and ask for clarifications. No questions in relation to an Impact Statement should be entertained, since the author is not present.

8) The Respondent(s) are invited, one at a time, to provide an oral statement in which they acknowledge the impact of the Harm they caused.

9) Participants can pose questions and ask for clarifications.

The Facilitators will lead a discussion in which all participants suggest possible remedies to address the Harms identified. This list is negotiated among the participants until the signatories to the Agreement agree that it is complete and conforms to the criteria set out in this policy.

APPENDIX C – Example Confidentiality Agreement

Restorative Conference Confidentiality

For the Restorative Justice process to be effective it is necessary and fundamental that confidentiality be protected and preserved, including as provided for under Alberta's Freedom of Information and Protection of Privacy (FOIPP) legislation.

Participants may not disclose to anyone confidential information[1] gained during the course of Restorative Conference except in accordance with the accompanying Procedures or to the extent required or permitted by law or University policy.

Records and reports of Restorative Conferences are the property of the University and shall be retained and disposed of in accordance with the retention and disposition schedule held by Residence Services.

By signing below, you agree that your participation in the Restorative Conference process will be governed by this Agreement and that you have the responsibility to maintain confidentiality.

DATED THIS____DAY OF_____20__

Printed Name _____ Signature _____

Printed Name _____ Signature _____

Printed Name _____ Signature _____

Printed Name _____ Signature _____

Printed Name _____ Signature _____

Printed Name _____ Signature _____

Printed Name _____ Signature _____

[1] *Confidential information does not include information that is in the public domain; information that is already, or is subsequently, disclosed or obtained without obligation of confidentiality; or information, the non-disclosure of which would present a risk to the public or the University community.*

1

APPENDIX D – Examples of Restorative Remedies [No changes]

Harm can be physical, emotional, reputational or other.

The type of harm done should guide the type of remedy used to make remedies for that harm. Sometimes harm can be repaired through concrete remedies when harm is measurable and repairable. Other harms may be more difficult to measure and may not be immediately obvious. In these cases, symbolic remedies can be used to show good faith and begin to rebuild trust in the community.

Concrete Remedies:

When harm is measurable and repairable, remedies should be designed to restore the community, as far as possible, to its state before the harm was caused. Examples include, but are not limited to:

- Replace an item that has been lost or broken.
- Arrange and pay for repair of a damaged item that belongs to another resident.
- Pay for repairs of any damage caused to the University.
- Remove offensive postings, posters, websites, etc. or post corrections and/or apologies.

Symbolic Remedies:

When the harm is to a person's emotions or reputation and is less quantifiable, remedies should be designed to enable the Harmed party(ies) to feel better about the situation and move forward and should enable the Respondent to rebuild trust and reintegrate into the community. Examples include, but are not limited to:

- Write an apology to the Harmed Party(ies) in an attempt to rebuild trust.
- Post a correction to websites, social networking pages, etc, to set the record straight.
- Write an essay on the impact of a certain behaviour on a community.[2]
- Create a poster, video, presentation, or other media project on the impact of behaviour on a community.[2]
- Refrain from drinking alcohol/pledge to drink only in moderation as an act of good faith.
- Become an active volunteer of some kind in the Residence and/or University community.
- Perform some action "in kind" to attempt to make up for the harms caused.

Restorative remedies are context-specific; the remedies will reflect the identified Harms and the attempt to repair those Harms rather than focussing on the incident itself. In other words, similar incidents may result in different remedies, depending on the Harms identified.

[2] May be collected into a resource library (names and personal identifiers removed).

Residence Restorative Agreement

Date:

Participants:	Name
Facilitator	
Facilitator	
Respondent	
Respondent	
Harmed Party	
Harmed Party	
Harmed Party	
Support Person	
Support Person	
Support Person	

As a result of having participated in a Restorative Process, we agree that the following actions will be taken no later than [DATE]:

NAME will [write an apology to…]

NAME will [pay for damages]

NAME will [etc.]

Failure to fulfil the conditions listed here will constitute a breach of the Residence Agreement.

Signatures:

Facilitator: _____

Signature

Respondent: _____

Signature

Harmed party: _____

Signature

(add more spaces as needed)

Governance Executive Summary
Action Item

Agenda Title	**Faculty of Education Restructuring**

Motion

THAT the Board of Governors, on the recommendation of the Board Learning, Research and Student Experience Committee and General Faculties Council, approve the proposal for a non-departmentalized structure for the Faculty of Education, to take effect July 1, 2022.

Item

Action Requested	☒ Approval ☐ Recommendation
Proposed by	Jennifer Tupper, Dean, Faculty of Education
Presenter(s)	Jennifer Tupper, Dean, Faculty of Education & Lynn McGarvey, Vice Dean, Faculty of Education

Details

Office of Administrative Responsibility	Provost and Vice-President (Academic)
The Purpose of the Proposal is (*please be specific*)	The proposal is before the Board of Governors to seek approval of the change to a non-departmentalized structure of the Faculty of Education.
Executive Summary (*outline the specific item – and remember your audience*)	The Faculty of Education currently consists of four departments and a school. The impact of this proposal is to eliminate the Departments of Elementary Education, Secondary Education, Educational Policy Studies, and Educational Psychology as administrative structures in the Faculty of Education. The School of Library and Information studies, which currently operates as a department-like structure called a school within the Faculty, will continue to operate as a distinct academic unit in accordance with accreditation requirements for the Master of Library and Information Studies program. This current configuration is a result of the merger of the Faculty of Library and Information Studies into the Faculty of Education which was restructured as a School and placed administratively within the Faculty of Education in 1991, and of restructuring from seven to five units in response to government budget cutbacks in 1994. This proposal does not change the conditions that were approved by GFC in 1991 that remain relevant today. The governance structure for SLIS will be part of the ongoing conversations in the Faculty about roles and structures, and any changes to the 1991 conditions would come back to GFC. The restructuring process is guided by a non-departmentalized vision for the Faculty that reflects the Cree concept of mâmawohkamâtowin – working cooperatively and collectively to serve our students. **Background** While the faculty has maintained four departments and a school for over 25 years, diminishing staff and financial resources over the past decade have resulted in a reduction from five to three administrative

	units shared across the four departments and school. There are currently over 100 faculty members, and department/school sizes range from 9 to 36 faculty members in each. The Faculty represents a wide variety of backgrounds and disciplines requiring an inclusive and broad vision as stated in Education for the Public Good: To be a flourishing, diverse, and sustainable Faculty of Education that excels, innovates, and transforms society through high quality, meaningful teaching, research, and service. As a means of advancing this vision, objectives specific to our structures, processes and resources are articulated. Of particular note is a commitment to review our current departmental organization with the aim to create efficiencies, improve stewardship of our human and financial resources, and strengthen teaching and research synergies across all program areas. The backdrop of our strategic objective is the University of Alberta for Tomorrow (UAT) initiative, which has arisen out of the need for profound change due to budgetary pressures faced by the institution. Aligned with our core mission of research and teaching, the structures and infrastructures currently in place at the University that make our work in the Faculty possible are undergoing a process of transformation. Within the Faculty of Education, our current academic structure has occasionally created barriers to collaboration and interdisciplinarity, and has required significant, and at times inequitable, investment of resources at the local level. Further, over the last 4 years, the Faculty operating budget has decreased by almost 20% and our staff complement has similarly been reduced by 20% through the SET initiative. This has created considerable risk to the Faculty which can be addressed by a bold vision for restructuring that will allow us to reinvest our resources in our core mission of teaching and research. In light of this, and given our strategic commitments, budgetary pressures, an academic hiring 'freeze', along with significant institutional change, we are at a critical point in the Faculty. We have an opportunity to advance innovative and creative academic and administrative support structures in order to strengthen teaching, research and service, and to ensure a high quality and meaningful student experience across all of our programs. Academic restructuring is not the restructuring of our programs (majors, minors, certificates, graduate specializations, curricula) but it is a change in how people and programs are situated within the Faculty of Education. Throughout the consultation process, commitment to upholding the standards of accreditation for the MLIS program has been consistently expressed. These standards require that "the program is an integral yet distinctive academic unit within the institution" that may be "organized as an autonomous college within its university, as a department in a college, or otherwise as appropriate within the institution" and that there is an administrative head.
Supplementary Notes and context	*The 1991 decision of GFC merged the Faculty of Library and Information Studies and the Faculty of Education and placed the School of Library and Information Studies administratively within the Faculty of Education*

	to function primarily as a department. GFC indicated several conditions for the merger: - *the School was to be led by a director;* - *the Faculty Council became a School Council that was to function as a department council;* - *SLIS Council was to make decisions on the mission and goals of the School and the MLIS program; and* - *the Faculty of Education was to recognise that accreditation was a sine qua non for the faculty.*

Engagement and Routing (Include meeting dates)

Consultation and Stakeholder Participation (parties who have seen the proposal and in what capacity) <For information on the protocol see the Governance Resources section Student Participation Protocol>	Faculty restructuring consultation began in 2019 with the development of the "Faculty structures, process & resources" strategic priority, and continued through draft scenario proposals, information sharing, and multiple forums for information and feedback. Faculty of Education Faculty Council: ● February 2, 2021 Faculty Academic Restructuring breakout sessions ● March 2, 2021 Faculty Academic Restructuring Interim Report presented for discussion ● April 6, 2021 Faculty Academic Restructuring update ● May 4, 2021 Faculty Council presentation of the restructuring vision for discussion ● May 25, 2021 Revised vision presented at Faculty Council for endorsement. Motion to endorse tabled. ● September 7, 2021 Motion to recommend non-departmentalized structure with implementation July 1, 2022. Motion passed. ● October 5, 2021 Concerns brought forward at Faculty Council about faculty members on leave not voting at the September 7th Faculty Council and graduate student representatives not yet selected. ● October 22, 2021 Special Education Faculty Council meeting in which the terms of reference were clarified to make explicit that members on leave could attend and vote at all future EFC meetings and to address the issue of graduate student selection. ● November 2nd, 2021 Motion to Reconsider the September 7 Motion. Motion passed. Motion to recommend non-departmentalized structure with implementation July 1, 2022. Motion passed. Second vote called because of a margin of less than five. Motion passed. Other consultation: ● Thought Exchange feedback and analysis (Faculty Retreat, August 2020) ● Four draft scenarios for Academic Restructuring circulated to faculty, staff and students (November, 2020) ● Feedback gathered on the draft scenarios through a Google form and three round table discussions (December, 2020 and January, 2021)

	● Information and discussion Town Hall with Support Staff (January, 2021) ● Five drop-in Zoom conversations – 2 undergraduate student sessions; 1 graduate student session, and 2 open sessions (January and February, 2021) ● Small group breakout conversations (February 2, Education Faculty Council) ● Co-location submission of program groups (March, 2021) ● Development of non-departmentalized vision in response to feedback (April 2021, DAC) ● Google feedback form and five faculty restructuring drop-in sessions with faculty members, staff, and undergraduate and graduate students (May, 2021) ● Third presentation of non-departmentalized vision at faculty and staff retreat with breakout room discussions and feedback (Faculty Retreat, August 26, 2021) ● Education Students' Association Board Meeting presentation and discussion (September 23, 2021) (feedback form provided). ● Moving Forward: Faculty of Education restructuring conversation for faculty, staff and students (December 14, 2021) ● Establishment of Steering Committee and Working Groups (Governance / Leadership Roles / Administration / Communities of Practice) (December 2021).
Approval Route (Governance) (including meeting dates)	GFC Academic Planning Committee – February 9, 2022 – For Recommendation GFC Executive Committee – February 14, 2022 – For placement on the GFC agenda General Faculties Council – February 28, 2022 – For Recommendation Board Learning, Research Student Engagement Committee – March 11, 2022 – For Recommendation Board of Governors – March 25, 2022 – For approval

Strategic Alignment

Alignment with *For the Public Good*	1. **OBJECTIVE 17**: Facilitate, build, and support interdisciplinary, cross-faculty, and cross-unit engagement and collaboration. 2. **OBJECTIVE 21**: Encourage continuous improvement in administrative, governance, planning and stewardship systems, procedures, and policies that enable students, faculty, staff, and the institution as a whole to achieve shared strategic goals. 3. **OBJECTIVE 22**: Secure and steward financial resources to sustain, enhance, promote, and facilitate the university's core mission and strategic goals.	
Alignment with Core Risk Area	Please note below the specific institutional risk(s) this proposal is addressing.	
	☐Enrolment Management ☐Faculty and Staff ☒ Funding and Resource Management ☐IT Services, Software and Hardware ☐ Leadership and Change	☐Relationship with Stakeholders ☐Reputation ☐Research Enterprise ☐Safety ☐Student Success

	☐Physical Infrastructure	
Legislative Compliance and jurisdiction	APC Terms of Reference GFC Terms of Reference BLRSEC Terms of Reference Section 2.f.i PSLA (Section 26(1)(o))	

Attachments:

1. Memo from the Dean describing impact on SLIS (2 pages)
2. Faculty Council Documentation - Education Faculty Restructuring (21 pages)
3. American Library Association Standards for Accreditation of Master's Programs in Library and Information Studies (9 pages)
4. 1991 approval of the merger of the Faculty of Education and the Faculty of Library and Information Studies (9 pages)

Prepared by: Jennifer Tupper, Dean, Faculty of Education

UNIVERSITY OF ALBERTA

FACULTY OF EDUCATION
OFFICE OF THE DEAN

TO: Members of GFC Exec

FROM: Jennifer Tupper (Dean)
Lynn McGarvey (Vice Dean)

DATE: February 16, 2022

RE: Faculty Restructuring and the School of Library and Information Studies**:**

The purpose of this memo is to address the specific concerns of APC and Executive Committee members with respect to SLIS in the context of restructuring.

In 1991, GFC determined the terms and conditions for SLIS when it transitioned into the Faculty of Education, including that the *S*chool was to be led by a director; that the SLIS Faculty Council became a School Council that was to function as a department council; that SLIS Council was to make decisions on the mission and goals of the School and the MLIS program; and the Faculty of Education was to recognise that accreditation was a sine qua non for the faculty.

Throughout our extensive restructuring process over the last two years, there has been clear and consistent communication about the need to uphold the standards of accreditation for the School & Clinical Child Psychology Program (SCCP), Counselling Psychology, TESL, and the Masters of Library and Information Studies (MLIS).

With respect to the MLIS, the American Library Association (ALA) Standards of Accreditation make clear that the MLIS program is a “distinct Academic Unit within the institution” and “Its autonomy is sufficient to assure that the intellectual content of its program, the selection and promotion of its faculty, and the selection of its students are determined by the program within the general guidelines of the institution” (V.1).

The ALA standards note that the academic unit that provides graduate education in library and information studies **may** be organized as an autonomous college within its university, as a department in a college, **or otherwise**, as appropriate within the institution. Across North America, there are variations in how MLIS programs are organized including within non-departmentalized faculties.

Further, the standards require an “academic head”. The use of the title of “director” is common for MLIS program leads across the country and will be used effective July 1, 2022. This position is not considered a chair, but may have some chair-like responsibilities that align with key responsibilities outlined in the ALA Standards, including but not limited to, ensuring curricular autonomy, quality assurance, recruiting faculty, assigning teaching, facilitating faculty and student interaction with other academic units, and promoting the socialization of students into the field.

Thus, we do not see any risk to accreditation for the MLIS program with a move to a non-departmental structure within the Faculty. Currently within the Faculty of Education, the Aboriginal Teacher Education Program (ATEP) and the Professional Learning Unit are both considered distinct academic units with Directors who lead the delivery of programs. On April 1st, the English Language School will join the Faculty of Education and it too constitutes a distinct academic unit led by a Director.

Work is well underway in the Faculty to implement the new structure. It is being led by a Steering Committee and four working groups (administration; governance; communities of practice: leadership roles). Of note is that the Governance working group will review governance structures, membership, terms of reference and authority held by all bodies in Education, including SLIS Council to determine how best to support program related decisions and collaboration. Any proposed changes that would change the conditions imposed by GFC on SLIS in 1991 will come back to GFC for approval.

MOTION to recommend a non-departmentalized structure for the Faculty of Education with implementation beginning July 1, 2022.

Our Current Reality

The faculty and staff retreat on August 26th, 2021 marked the end of a comprehensive, year-long series of discussions and debates about the future structure of our faculty. While there is still hesitancy and uncertainty, we must now commit to a path forward. We recognize that with this motion, the face of our faculty will change. There is and will continue to be a sense of loss for the departments that have served as touchstones for students, staff, instructors, and professors currently and in years past. This is not a decision to be made lightly. Yet, we are faced with an unprecedented reduction in resources—both financially and in personnel. Since 2017, the operating budget of the Faculty has decreased by 20%. This reduction is not temporary, but is reflective of diminishing financial support for publicly funded post-secondary institutions around the world. We need to make a choice now that allows our faculty to be sustainable well into the future—beyond when most of us have retired or left the faculty. A non-departmentalized motion is a bold step, and at its core is the desire to envision our faculty as a collective whole. Becoming non-departmentalized allows us to work together, in the spirit of mâmawohkamâtowin, to put our remaining resources into our core mission of teaching, research, and service, and it provides us with the flexibility needed to respond to the changing landscape of post-secondary institutions, the students we serve, and the Public Good in the years to come.

Background

The Faculty of Education currently consists of four departments led by four chairs and a school led by a director. This current configuration is a result of the merger of the Faculty of Library and Information Studies with the Faculty of Education in 1991, and restructuring from seven to five units in response to government budget cutbacks in 1994 (see 1994 Reorganization Proposal attached). While the faculty has maintained four departments and a school for over 25 years, diminishing staff and financial resources over the past decade have resulted in a reduction from five to three departmental administrative units.

There are currently over 100 faculty members, and department/school sizes range from 9 to 36 faculty members in each. The Faculty represents a wide variety of backgrounds and disciplines requiring an inclusive and broadly based vision: *To be a flourishing, diverse, and sustainable Faculty of Education that excels, innovates, and transforms society through high quality, meaningful teaching, research, and service.*

Rationale for Academic Restructuring (from Interim Report, February 2021, attached)

The backdrop of our strategic objective to restructure is the *University of Alberta for Tomorrow* (UAT) initiative, which has arisen out of the need for profound change due to budgetary pressures faced by the institution. Aligned with our core mission of research and teaching, the structures and infrastructures currently in place at the University that make our work in the Faculty possible are undergoing a process of transformation. Within the Faculty of Education, our current academic structure has occasionally created barriers to collaboration and interdisciplinarity, and has required significant, and at times inequitable, investment of resources at the local level.

Given our strategic commitments, budgetary pressures, an academic hiring 'freeze', along with significant institutional change, we are at a critical point in the Faculty. We have an opportunity to think innovatively and creatively about our academic and administrative support structures, to strengthen teaching, research and service, and to ensure a high quality and meaningful student experience across all of our programs. However, this requires that we think differently about how we use our existing resources.

Rationale for a Non-Departmentalized Faculty

The two structural options presented to the faculty were (1) two departments or (2) non-departmentalized. The feedback received was split between these options. Initially, possibilities for the two-department option were pursued, but feedback received and additional factors made this choice problematic. The shift to a non-departmentalized vision was based on the desire for future decision making to be based on the collective whole, and the need for ongoing sustainability of the Faculty. The following points highlight reasons for a non-departmentalized faculty arising from submitted feedback (from Faculty Restructuring Vision, May 5, 2021, attached):

- Program area co-location submissions did not lead to any clear two-department groupings, and some program areas strongly opposed any departmental structure
- Forcing mergers could fracture the faculty and perpetuate long-standing issues that continue to exist from previous department mergers
- Expressed concerns about identity and belonging with potential department names and large departments housing multiple programs
- Need to establish equitable and efficient practices for scheduling and staffing all of our courses
- Provide faculty members with opportunities to contribute to multiple program areas
- Need for ongoing flexibility to adjust to financial instability more equitably
- Need for better utilization of administrative resources while reducing the duplication of responsibilities
- Create mechanisms to increase coordination across our undergraduate and graduate programs
- Improve collaboration and collegiality across the Faculty

Information Forums and Consultation Process

Faculty restructuring consultation began in 2019 with the development of the "Faculty structures, process & resources" strategic priority, and continued through draft scenario proposals, information sharing, and multiple forums for information and feedback. The consultation process included:

- Thought Exchange feedback and analysis (Faculty Retreat, August 2020)
- Four draft scenarios for Academic Restructuring circulated to faculty, staff and students (November, 2020)
- Feedback gather on the draft scenarios through a Google form and three round table discussions (December, 2020 and January, 2021)
- Information and discussion Town Hall with Support Staff (January, 2021)
- Five drop-in Zoom conversations: 2 undergraduate student sessions, 1 graduate student session, and 2 open sessions (January and February, 2021)
- Small group breakout conversations (February 2, Education Faculty Council)
- Faculty Academic Restructuring Interim Report (February 2021, report attached)
- Co-location submission of program groups (March, 2021)
- Development of non-departmentalized vision in response to feedback (April 2021, DAC)
- Faculty restructuring document and presentation of non-departmentalized vision (May 4, 2021, Faculty Council, report attached)
- Google feedback form and five faculty restructuring drop-in sessions with faculty members, staff, and undergraduate and graduate students (May, 2021)
- Consolidated feedback report and second presentation of non-departmentalized vision to address questions, and motion to endorse (tabled) (Faculty Council in May 25, 2021, report attached)
- Third presentation of non-departmentalized vision at faculty and staff retreat with breakout room discussions and feedback (Faculty Retreat, August 26, 2021)

Proposed Timeline for Faculty of Education Restructuring (from Faculty Retreat presentation)

Sept 7, 2021	Faculty Council vote to recommend non-departmentalized faculty structure
Sept - Dec, 2021	Planning of academic groupings, program process, and governance review
Jan - June, 2022	Transition to revised leadership positions, and responsibility redistribution
July, 2022	Initial implementation with continued refinement of governance and faculty processes

Attachments

A. Faculty of Education Academic Restructuring Interim Report, February 2021
B. Faculty of Education Restructuring Vision, May 5, 2021
C. Faculty of Education Restructuring – Consolidated Feedback and Responses, May 25, 2021
D. 1994 Reorganization Proposal

Faculty of Education
Academic Restructuring
Interim Report
February 2021

University of Alberta for Tomorrow Vision

The University of Alberta has embarked on a period of major transformation, building on its long history of leadership in the province and in Canada's post-secondary sector. The pressures facing the U of A today are significant and we must take urgent action. With fundamental systemic reform, we can set a bold new direction for the university of tomorrow. We can strengthen our core teaching, research, and community engagement mission and enrich student experiences, while addressing the current funding crisis. Together, we can renew and grow the U of A's global leadership in higher education and research, and drive even greater social and economic growth, innovation, and creativity for the public good of the province and beyond.

Education for the Public Good

In our Strategic Plan *Education for the Public Good*, the Faculty of Education advances a vision to be a flourishing, diverse and sustainable Faculty that excels, innovates and transforms society through high quality, meaningful teaching, research and service. As a means of advancing this vision, objectives specific to our structures, processes and resources are articulated. Of particular note is a commitment to review our current departmental organization with the aim to create efficiencies, improve stewardship of our human and financial resources, and strengthen teaching and research synergies across all program areas.

The Case for Academic Restructuring

The backdrop of our strategic objective is the *University of Alberta for Tomorrow* (UAT) initiative, which has arisen out of the need for profound change due to budgetary pressures faced by the institution. Aligned with our core mission of research and teaching, the structures and infrastructures currently in place at the University that make our work in the Faculty possible are undergoing a process of transformation. Within the Faculty of Education, our current academic structure has occasionally created barriers to collaboration and interdisciplinarity, and has required significant, and at times inequitable, investment of resources at the local level.

Given our strategic commitments, budgetary pressures, an academic hiring 'freeze', along with significant institutional change, we are at a critical point in the Faculty. We have an opportunity to think innovatively and creatively about our academic and administrative support structures, to strengthen teaching, research and service, and to ensure a high quality and meaningful student experience across all of our programs. However, this requires that we think differently about how we use our existing resources. Importantly, academic restructuring is not the restructuring of our programs (majors, minors, certificates, graduate specializations, curricula).

Guiding Principles

- Attention to the core values as articulated in *Education for the Public Good*
- an inclusive, supportive and transparent process of consultation
- recommendations for structural change are data-informed and future-focused
- considerations of equity, diversity and inclusion are core to the process
- financial considerations will be balanced with attention to high quality student experiences and advancing a rich and respectful working and learning environment
- innovation, collaboration and creativity
- adhere to governance processes, procedures and collective agreements
- retain talented staff
- maintain excellence and integrity of academic programs

Consultation and Feedback

- 4 DRAFT scenarios for Academic Restructuring circulated to faculty, staff and students in November
- 47 electronic responses to the DRAFT scenarios received in December & January
- 3 Round Tables: December 9th, December 17th, January 7th with approximately 200 participants
- 1 Support Staff Town Hall, January 11th, approximately 53 participants
- 5 drop-in Zoom conversations – 2 undergraduate student sessions; 1 graduate student session, and 2 open sessions in January & February
- Small group breakout conversations, February 2nd Education Faculty Council

Overall, the feedback demonstrated an understanding that academic restructuring within the Faculty is necessary (per Objective 29 in *Education for the Public Goo*d) and that it represents an opportunity to break down silos, strengthen collaborations, and enhance program delivery. However, many important questions were raised through consultation which this report aims to answer.

Frequently Asked Questions (FAQs)

1. What is the problem we are trying to solve?

   Budget:
   - *Since 2017, the Faculty of Education operating budget has decreased by **20%** and the Government of Alberta has signaled continued budget reductions for the University of Alberta in fiscal 2021 & 2022 in addition to the $127 million cut already incurred.*
   - *In order to manage these significant financial reductions, the University is transforming administrative services and academic structures.*
   - *Through SET, there will be 1100 fewer staff supporting the University of Alberta by the end of 2022.*

- *In the Faculty of Education, a 20% reduction in the number of FTEs by the end of 2022 means that we have to think differently about how we work and how we are structured in order to maintain a high-quality student experience.*
- *Academic restructuring within the Faculty allows us to combine and focus our existing resources on supporting students and supporting our core mission of teaching and research.*

Greater Cohesion

- *Separate from the reality of budget cuts, and in the context of our strategic planning process in 2017-2018, faculty and staff expressed the need to break down existing silos in the Faculty, silos that were felt to be a function of the current academic structure.*
- *Faculty, staff and students expressed a desire to consider different ways of organizing ourselves academically, to explore opportunities for synergies and collaborations across the Faculty, program areas and specializations. Academic restructuring presents new possibilities for interdisciplinary research collaborations across program areas and specializations, and opportunities for teaching across programs.*
- *The Undergraduate Program Review (2017-2018) also identified challenges in delivering the teacher education program across four departments. Again, academic restructuring creates opportunities for responding to and mitigating these challenges.*

Thus, we are attempting to solve both budget and organizational challenges as we propose new academic and administrative structures that aim to keep our core mission of teaching and research front of mind by creating structures that support these in a context of significant cost cutting.

2. Why can't we leave things as they are?

- *We will have 20% fewer staff in the Faculty by the end of 2022.*
- *Our budget reductions since 2017 mean that we are working with 25% less over a five-year period.*
- *If we do not seek to change in innovative and creative ways, we are in danger of diminishing the quality of the student experience and the supports available for teaching and research.*
- *Making incremental changes year after year to manage budget reductions is akin to death by a thousand cuts.*
- *There are also certain factors outside the Faculty that we have no control over but must respond to. These will result in substantial changes across the institution and within the Faculty.*

3. Does Faculty Leadership have a preferred model already in mind?

   No. The four draft scenarios were created at the request of Education Faculty Council. Members of DAC see the possibilities and challenges of each scenario and have consistently expressed an openness to other ideas.

4. How will academic restructuring impact / change programs?

   - *Programs will not be changed if our academic structures change but they may be relocated (similar to the relocation of the MACE program when the academic function of Extension was dissolved in June 2020).*
   - *Academic changes to programs require the adherence to governance processes, including UAAC and GAAC endorsement.*
   - *The Undergraduate Program Renewal process has been underway since 2018 and the Graduate Program Review with corresponding recommendations was completed in 2020. Currently, under the leadership of the Associate Dean, Graduate Studies, a process to consider changes to graduate programs is underway, which involves extensive consultation and appropriate governance processes.*

5. How were the scenarios suggested?

   As noted previously, Education Faculty Council requested that the DAC create draft scenarios for academic restructuring for consideration and feedback. The DAC drew on feedback generated through the Faculty Strategic Planning process, the Thought Exchange data from the August retreat and informal conversations with faculty and staff. The DAC does not have a preferred outcome and there is diversity in the perspectives of members of the DAC with respect to the four scenarios.

6. What will happen to students if an academic reorganization takes place?

   The home department of graduate students may change, depending on where programs are situated, but students will continue in their programs as they are now. The undergraduate program is a Faculty-wide program and students will continue to be supported as they progress through their degree, regardless of academic structure.

7. Where will staff be situated in a restructured faculty?

   This is a detail that needs to be worked out depending on the academic structure endorsed by the Education Faculty Council, and dependent on what functions shift to the College and SET. If a departmental structure is maintained, there will need to be staff situated within the departments to provide the necessary administrative support including

programmatic support. If a non-departmentalized structure is endorsed, then staff will be situated within a Faculty Office and various Associate Dean portfolios.

8. How will faculty members maintain a sense of belonging in a non-departmentalized structure?

   Sense of belonging is important regardless of academic structure. Thus, the creation of communities of practice is one mechanism whereby a sense of belonging can be established regardless of academic structure. Program areas (already in existence) are another mechanism that shapes a sense of belonging in a non-departmentalized structure, as do opportunities for interdisciplinary collaborations.

9. What cost savings are associated with each scenario?

   Moving from five to two departments approximates cost savings as follows:
   - *Reduction in 3 Chairs = $144,000 (course release); $18,000 (administrative stipends); $25,000 (GRA Support)*
   - *Reduction in 5 Associate Chairs = $120,000 (course release); $15,000 (administrative stipends)*
   - *Reduction in 4 FTE Staff positions (accounted for in SET reductions) = $350,000 *Total = $672,000*

   Moving from five to no departments approximates cost savings as follows:
   - *Reduction in 5 Chairs = $240,000 (course release); $37,500 (administrative stipends); $25,000 (GRA Support)*
   - *Reduction in 9 Associate Chairs = $216,000 (course release); $27,000 (administrative stipends)*
   - *Reduction in 4 FTE Staff positions (accounted for in SET reductions) = $350,000 *Total = $895,500*

   However, a non-departmentalized structure may require the creation of additional leadership positions at the Faculty level to provide the necessary supports for teaching, research, and service. Thus, the total savings would not be significantly greater than those achieved by maintaining a department structure.

   ** It is important to note that some functions may move from the Faculty to the College which may impact staffing & budget across the faculty.*

10. Will the Departments be consulted concerning the naming of new units? How will decisions concerning Chairs or Directors be confirmed?

    Yes. It became very clear in the feedback that this is important, and that the Departmental names assigned in the DRAFT Scenarios were causing consternation /

concern. If we can agree on the organization of programs within a departmental structure, then the newly formed departments should play a central role in determining their names.

With respect to the selection of Chairs and Directors, the process as set forth in UAPPOL must be adhered to. Thus, a selection committee would be struck. For more information, please refer to the UAPPOL policy: https://policiesonline.ualberta.ca/PoliciesProcedures/Procedures/Department-Chairs-Selection-Procedure.pdf

11. Why were Centres and Institutes included in some scenarios but not others?

This was an oversight. However, Centres and Institutes are core to the work of the Faculty and transcend departmental structure. They are currently governed per UAPPOL with oversight by the Vice Dean. For more information, please refer to the UAPPOL policy: https://policiesonline.ualberta.ca/PoliciesProcedures/Procedures/Academic-Centres-and-Institutes-Operation-Procedure.pdf

Summary

Change is never easy, and there were many expressions of concern through the consultation about the depth, breadth and pace of change at the U of A. However, there was overwhelming recognition that change can be beneficial in the short, medium and long term, especially as it strengthens our work as a Faculty in the midst of diminishing resources.

The consultation feedback revealed:

- that each of the four scenarios presented both opportunities and challenges;
- that considerable work would need to occur in any transition to a new structure;
- an overall preference amongst faculty, staff and students to maintain the departmental structure given our size and complexity;
- agreement that the role of Department Chairs and Associate Chairs in day-to-day decision making and in the provision of day-to-day support is preferable;
- the Undergraduate and Graduate Programs are core to our work as a Faculty and can function regardless of our academic structure;
- governance structures will need to be carefully considered and adjusted accordingly;
- we need to be future-focused as a Faculty, given the immediate challenges facing the institution;
- the importance of balancing financial considerations while maintaining high quality student experiences;
- a desire to enhance a culture of respect in a restructured faculty;
- a commitment to maintaining excellence and the integrity of our academic programs; and
- recognition that regardless of how we restructure ourselves academically, we are all members of the Faculty of Education.

Next Steps:

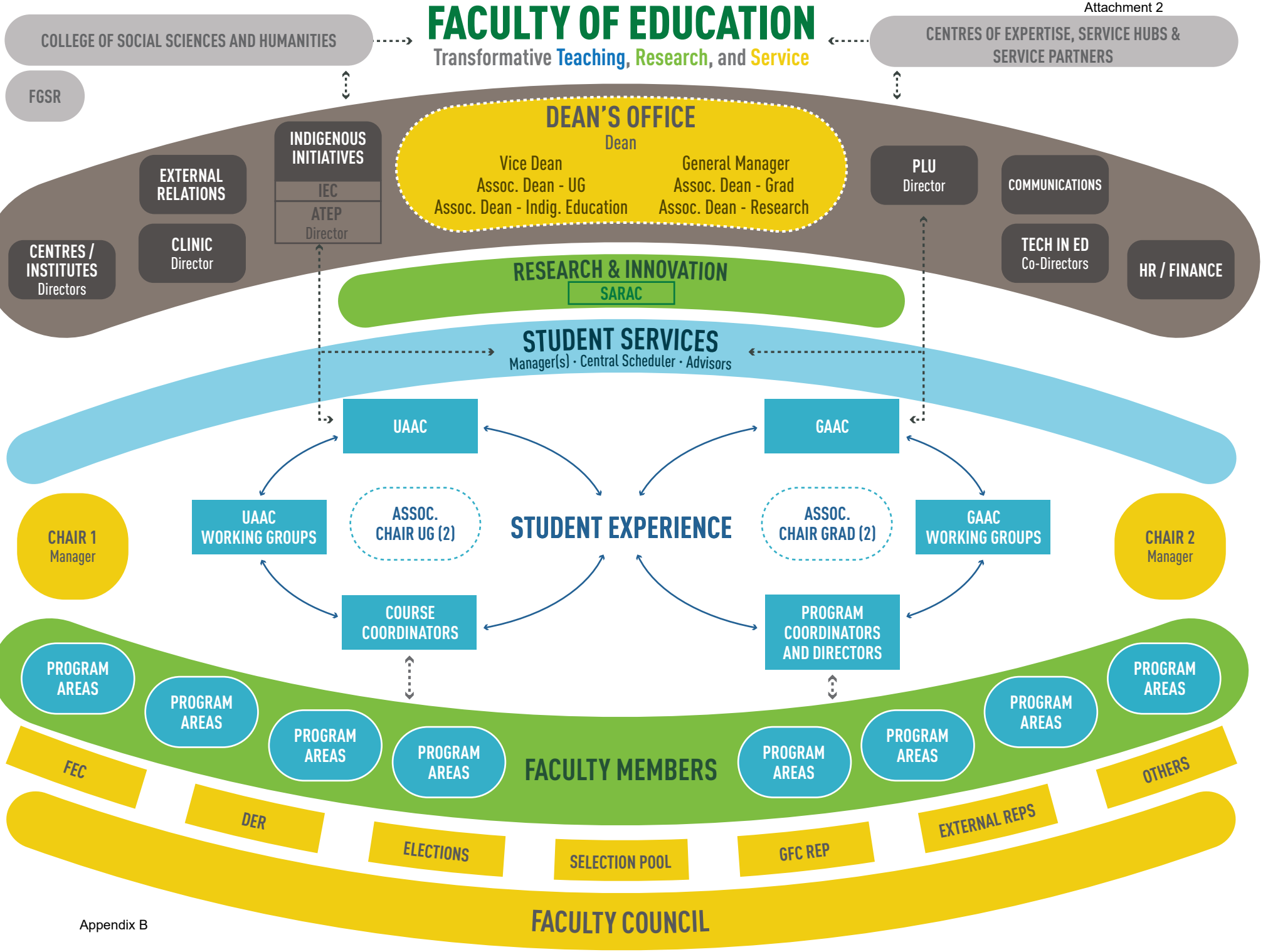
Given the preference to maintain a departmentalized structure, the next step is to determine how to situate programs/specializations in two rather than five departments. To that end, proposals will be solicited from each program/specialization that identify: 1). what other programs with which they would like to be co-located; and, 2). A brief rationale (more details to follow).

These proposals will be submitted to and reviewed by the DAC, who will use them to design a revised proposal for Academic Restructuring for the consideration of faculty, staff and students. Given necessary governance processes and timelines, potential endorsement would occur at Education Faculty Council in April.

The following list reflects our current program areas / specializations in the Faculty of Education:

- Elementary Education
- Secondary Education
- School of Library and Information Studies
- Social Justice and International Education
- Adult, Community and Higher Education
- Indigenous Peoples Education
- Education Administration and Leadership
- TESOL
- School & Clinical Child Psychology
- Counselling Psychology
- School Counselling
- Psychological Studies in Education
- Measurement, Evaluation & Data Science
- Special Education
- Technology in Education

*ATEP is not included in this list as they exist outside of the departmental structure.


FACULTY OF EDUCATION
Transformative Teaching, Research, and Service
COLLEGE OF SOCIAL SCIENCES AND HUMANITIES
FGSR
CENTRES OF EXPERTISE, SERVICE HUBS & SERVICE PARTNERS
DEAN'S OFFICE
Dean
Vice Dean
Assoc. Dean - UG
Assoc. Dean - Indig. Education
General Manager
Assoc. Dean - Grad
Assoc. Dean - Research
INDIGENOUS INITIATIVES
IEC
ATEP Director
EXTERNAL RELATIONS
CLINIC Director
CENTRES / INSTITUTES Directors
PLU Director
COMMUNICATIONS
TECH IN ED Co-Directors
HR / FINANCE
RESEARCH & INNOVATION
SARAC
STUDENT SERVICES
Manager(s) · Central Scheduler · Advisors
UAAC
GAAC
CHAIR 1 Manager
UAAC WORKING GROUPS
ASSOC. CHAIR UG (2)
STUDENT EXPERIENCE
ASSOC. CHAIR GRAD (2)
GAAC WORKING GROUPS
CHAIR 2 Manager
COURSE COORDINATORS
PROGRAM COORDINATORS AND DIRECTORS
PROGRAM AREAS
PROGRAM AREAS
PROGRAM AREAS
PROGRAM AREAS
FACULTY MEMBERS
PROGRAM AREAS
PROGRAM AREAS
PROGRAM AREAS
PROGRAM AREAS
FEC
DER
ELECTIONS
SELECTION POOL
GFC REP
EXTERNAL REPS
OTHERS
FACULTY COUNCIL

Faculty of Education Restructuring Vision

Transformative Teaching, Research, and Service

The non-departmentalized vision for the Faculty reflects the Cree concept of *mâmawohkamâtowin* – working cooperatively and collectively to serve our students.

Why Non-Departmentalized?

The vision is based on the feedback received and the need for ongoing sustainability of the Faculty. More specifically, the following points highlight a few of the reasons for shifting to a non-departmentalized Faculty:

- Program area co-location submissions did not lead to any clear two-department groupings, and some program areas strongly opposed any departmental structure
- Forcing mergers could fracture the faculty and perpetuate long-standing issues that continue to exist from previous department mergers
- Expressed concerns about identity and belonging with potential department names and large departments housing multiple programs
- Need to establish equitable and efficient practices for scheduling and staffing all of our courses
- Provide faculty members with opportunities to contribute to multiple program areas
- Need for ongoing flexibility to adjust to financial instability more equitably
- Need for better utilization of administrative resources while reducing the duplication of responsibilities
- Create mechanisms to increase coordination across our undergraduate and graduate programs
- Improve collaboration and collegiality across the Faculty

Transformative Teaching

The faculty's restructuring vision recognizes that our programs are the lifeblood of the faculty, and places the undergraduate and graduate **STUDENT EXPERIENCE** at the centre of the Faculty's decision-making. Removing department walls will encourage broader participation, unite similar program areas, increase coordination across our undergraduate and graduate programs, and provide flexibility for faculty members to belong to more than one program area.

At present, most program areas have a lead person described as a program coordinator, specialist coordinator, or director. At the undergraduate level, we also have subject area coordinators and course coordinators. These coordinators/directors will continue to play important leadership and communication roles with faculty members, graduate students, and instructors in their program/subject areas. By bringing together undergraduate and graduate coordinators, we can better work together to discuss ways to improve and integrate learning experiences, and bring forward issues and recommendations to UAAC/GAAC through the

Associate Chairs. In this vision, Associate Chairs will provide leadership to the coordinators and facilitate communication across program areas and courses. UAAC/GAAC Working Groups will take a more active role in addressing teaching, student, and program related issues and initiatives. That Associate Deans Undergraduate and Graduate continue to chair UAAC and GAAC, and are an integral interface between Centralized Student Services and faculty programs.

Transformative Research

Our research, scholarship, and creative activity contributes to and forms the basis of our teaching and programs. Faculty members of all ranks requested opportunities to engage in and contribute to formal and informal mentorship opportunities of colleagues and graduate students. These opportunities will continue to occur locally through collegial relationships within and across program areas, and will be supported by the Associate Dean Research through expanded Research & Innovation initiatives.

Transformative Service

Service encircles and is infused throughout the faculty. Service and leadership contributes to scholarship and teaching, and facilitates collegial relationships through committee work. The strength and functioning of the faculty relies on our commitment to make decisions collectively in the best interest of our faculty as a community of students, staff, instructors, academics, and administrators.

The retain familiarity in the leadership structure, the vision includes two Faculty Chairs, and two Associate Chairs at the undergraduate and graduate levels. The Chairs will play important leadership roles at the intersection of teaching, research, and service. They will share/split responsibilities expected of chairs such as assigning teaching loads, making recommendations for merit, bringing faculty members forward for tenure and promotion, providing mentorship, serving as chair for faculty selection committees, and so on. An additional leadership role is the Associate Dean, Indigenous Education. This addition is based on the feedback received and it is listed as a priority in our 2019-2024 strategic plan.

While the Faculty's current committee structure does not need to change substantially, the move to a non-departmentalized faculty will impact how memberships are defined in the Terms of Reference. A Governance Working Group will be struck to review the terms of reference for all committees and make recommendations for revised membership.

Contributing Units

Many of our contributing units contribute to teaching, research, and service and will continue to be supported by the Dean's Office. Modifications to some of these units will occur as our Collaborating Partners become established and evolve. An Indigenous Initiatives unit will be

added that will provide support for ATEP, as well as research, community-based and program initiatives throughout the faculty.

Collaborating Partners

There remains uncertainty in the roles and relationships with our collaborating partners including the College, other faculties within the College, FGSR, Centres of Expertise, Service Hubs, and Service Partners. However, through ongoing communication, we will ensure that we continue to strive for transformative teaching, research, and service, and thrive as a faculty.

Faculty Restructuring Timeline:

May 4, 2021	Faculty Council presentation of the restructuring vision
May 5	Vision description and google feedback form distributed
May 10 – 17	Drop-in sessions for faculty, graduate students, and staff
May 25	Revised vision presented at Faculty Council for endorsement
May – June	Initial approval of restructuring requested of the Provost
June – October	Governance, leadership responsibilities, and administrative working groups
October – December	University governance approval process
January – March 2022	Leadership selection
March – July	Transition to new structure

Faculty of Education Restructuring
Consolidated Feedback and Responses

May 18, 2021

Students, staff and faculty provided extensive feedback on the proposed restructuring vision through four drop-in sessions, a google feedback form, and individual communication. The comments, questions, and concerns were appreciated and tremendously helpful in expanding our understanding of what it means to be non-departmentalized. This document includes the most common categories of questions and concerns that our community raised.

Why a Non-Departmentalized Vision?

The non-departmentalized vision (see Appendix A) takes into consideration the many moving parts that are currently shaping the Faculty and University such as SET, the College, the new Budget Model, Centralized Student Services, and the Graduate Program Review. Yes, it is, in part, a response to the current budget cuts and anticipated budget cuts in the future, but the restructuring vision was born out of a sense of optimism. It is forward looking. It is one that removes internal bureaucracy and obstacles to allow us to be innovative in our programs, rethink how we can best serve our students, and continue to enact our Strategic Plan. It gives us an opportunity to change the faculty's culture to one of collaboration and service to the faculty as a whole, rather than continuing to operate in silos. Yet, it allows us to maintain our strong connection to our programs and the people we work alongside, while opening doors to new synergies. Our vision is to create an environment in which everyone has a place of belonging, and feels a sense of collegiality and pride in our Faculty.

So what are we being asked to vote on exactly?

The motion for May 25th, Faculty Council is as follows:
Motion to endorse, in principle, the non-departmentalized vision for the Faculty of Education.

First, it might be helpful to state what we are not voting on. We are not voting on the specific leadership roles listed on the 'visual' of the vision, as we expect the number of leadership roles and the titles of those roles to potentially change (see the Leadership Working Group below). We are not voting on a list of program areas and how those program areas will be governed (see the Program Areas Working Group below). And we are not voting on how membership might be constituted on each of our committees (see the Governance Working Group below). The vote is whether or not we want to put in the effort into collectively working out the details for leadership, program areas, governance, and administration within a non-departmentalized faculty.

If we vote against the vision, what happens?

Right now, we don't have a Plan B. None of the other options we've considered, including all of the 2-Department configurations, balance all of the moving parts or address the significant feedback received as effectively. So, if we vote against the motion, it is back to the drawing board. But we can't be complacent. As described in the next section, faculty restructuring is under the purview of the Provost, and requires several levels of governance approval. We need a vision with at least some of the details by September.

So, if we do vote in favour, then what?

The governance process for restructuring faculties and departments is set out in Article A10: Academic Reorganization in the Collective Agreement. Restructuring is under the purview of the Provost. If we vote in favour of the motion on May 25th, then we need to solicit the Provost's feedback and general support in June. If he is supportive, then we can begin to work on some of the details of a non-departmentalized faculty. The following outlines a timeline for that work:

July - August:
Faculty leadership will compile materials for Discussion Groups on Leadership, Program Areas, Governance, and Administration. These materials will include examples from other non-departmentalized faculties, questions and suggestions from the feedback gathered, possible constraints, and other relevant information.

August 26th: Faculty Retreat
Prior to the Faculty Retreat, Discussion Group materials will be provided to Faculty and Staff. At that time, each person will choose which Discussion Group they'd like to participate in at the Faculty Retreat.

Once at the Faculty Retreat, people will be placed in the discussion group of their choice. (There may be multiple groups on the same topic, and as we gather the material, we may need subgroups or new topics.) Each group will have a chance to begin to envision what their topic of discussion might look like and how it could be implemented. Recommendations from these groups will be shared. Working groups will then be struck to continue the work after the retreat by examining and making recommendations. These working groups may continue for a couple of months or throughout the academic year, depending on the tasks. Although we need to have a sense of how leadership and governance will work in a non-departmentalized faculty, the exact details do not need to be determined to move to the next phase in the process.

September 7th: Faculty Council
In order to go through the multiple levels of governance in time for a July 1, 2022 implementation, an official motion, using the language in Article A10, will be brought forward to Faculty Council:

Motion to recommend that the Faculty of Education become a non-departmentalized faculty.

Article A10 states that an academic reorganization may originate *"from a recommendation from a Faculty Council to the Provost, or from a proposal by the Provost."* As mentioned, our faculty will make a recommendation to become non-departmentalized to the Provost, but he ultimately has the authority to determine how we are structured. U of A for Tomorrow illustrates this further with the objective of "reducing the number of faculties and departments through consolidation to create economies of scale and reduce duplication of similar programs, courses and services." Our work now allows us to be proactive in this regard.

Based on a previous example of becoming non-departmentalized from the School of Public Health, the recommendation includes alignment with University guiding documents (e.g., U of A for Tomorrow), compliance with legislation, policy and procedure, rationale for the change, the consultative process, and proposed details of restructuring. The focus is on the shifting from departmentalized to non-departmentalized, not on the specific details of implementation.

September to January: University Governance Approvals
If the Faculty votes in favour of the motion at September Faculty Council, approvals and/or reviews are needed at subcommittees and committees of Academic Planning Committee, GFC, and the Board of Governors. At each phase in the process the committee may return the recommendation to the Provost, approve the recommendation (possibly with changes), or reject the recommendation. Once again, communication is through the Provost.

January to June, 2022
If the recommendation is approved at each step of the governance process, then we will have six months to begin the transition to a new leadership, governance, and administrative structure. Yet, we recognize that it will take time and adjustments over the months, and possibly the first few years, to begin working in a new structure.

What are the details?

In the feedback received, people asked many questions, and gave suggestions for what we should and should not do. The areas below were mentioned repeatedly. In the spirit of the Cree concept of *mâmawohkamâtowin,* we would like to work cooperatively to create answers and solutions in the best interest of our students, and for our community as a faculty. Please note that these are the areas we have identified at this moment. There may be others, and these groups may need further subdivision to create more manageable tasks. At the same time, we know that all of these parts do not exist in isolation, and so the recommendations need to fit together.

Leadership Roles and Responsibilities

Task: Review and redefine all leadership roles and responsibilities including Vice Dean, Associate Deans, Chairs, and Associate Chairs.

- *What areas of responsibilities do we need to fulfill?*
- *What gaps do we have (e.g., EDI, Wellness, Mentorship)?*
- *How many leadership roles do we need?*
- *What selection processes should be in place to choose the faculty's leaders?*
- *What titles should we use?*
- *How will the chairs share or split responsibilities? How can we ensure the chair roles are engaging and connected to the work of the faculty? (see Note below)*

The responsibilities of the faculty's leadership positions will necessarily need to change given the introduction of the College, initiatives through SET, and our faculty's shift to Centralized Student Services. This leadership review allows us to examine what leadership roles will be required or needed to support us as a faculty.

Note: Many people asked questions specifically about the Chairs. The role of the Chair in the proposed vision will include the responsibilities as outlined in the Collective Agreement including assigning teaching (A2.02.1), possibly assigning service (A2.04), reviewing the annual report (A2.05), sabbatical applications (A4.02.1), recommending tenure and promotion (Article A5), recommending merit increments (A6.091), and all other duties specified in the Agreement. Also, selection of a Chair follows very specific UAPPOL Procedures that would be maintained and require input from faculty members. Although the vision used the label of "chair" to signal these responsibilities, the title of the position can be changed, and they may have new responsibilities that allow them to contribute meaningfully to the faculty.

Program Area Groupings

Task: Create a description of program areas, describe how they will operate, how coordinators will be determined, and how faculty members are attached to program areas, and how they will contribute to program-related decision making at both the undergraduate and graduate levels.

- *What program areas do we currently have?*
- *How might we outline program areas so that faculty members can see where they belong?*
- *How can we ensure permeability between program areas, rather than having them work as silos?*
- *How can we identify coordinators at the undergraduate and graduate levels?*
- *How many coordinators do we need?*
- *How are they selected?*
- *How can we strengthen collaboration across our programs?*
- *How can the coordinators work effectively together?*

The term "Program Areas" was intended to reflect how most faculty, instructors, and students are currently organized based on graduate and undergraduate programs, and specializations or subject areas.

Other non-departmentalized Faculties of Education across Canada and around the world organize faculty members to help create governance structures that support their programs and initiatives. For example, Werklund (92 faculty members) identifies seven "Specializations & Academic Expertise;" Western (45 faculty members) uses three "Academic and Research Clusters"; University of Regina (48 faculty members) uses "Program Areas" with "Subject Areas" within each group; University of Ottawa (60 faculty members) is organized around programs (B.Ed. Anglophone, B.Ed. Francophone, Graduate Studies) with faculty level program committees; and Monash University (180 faculty members) uses five "Academic Communities." The intention with the proposed vision is that our Program Areas (however they become defined) are permeable, allowing faculty members to make choices about where they belong.

Governance:

Task: Review the current committee structure, terms of reference and redefine membership.

- *What committees do we currently have?*
- *Are they addressing the governance needs of the faculty?*
- *How can we create appropriate representation on our committees?*

Two key intentions of the non-departmentalized vision are to remove a layer of bureaucracy between program-related decisions and approval, particularly at UAAC and GAAC, and to improve collaboration across our undergraduate and graduate programs. The feedback we received asked us to do more than simply revise membership, but to look more closely at the committees we currently have in place, and whether they reflect the concept of *mâmawohkamâtowin* – working together. A clear and thoughtful review of our committees, their terms of reference, and memberships to ensure a diversity of perspectives is needed to fulfill the vision.

Administration and Communication:

Task: Determine what responsibilities and tasks are currently occurring at the department level, and recommend how to operationalize those responsibilities to support the faculty as a whole.

- *How can we continue to best implement our Faculty Communication Plan? It is scheduled for review in 2022*
- *What does our Faculty Communication Plan say about the flow of communication?*
- *How do we continue to support instructors and staff?*
- *Who do they go to when they need help?*
- *Who signs my forms?*

As part of Centralizing Student Services, all staff whose primary responsibility is supporting students will become part of this unit. Work is already underway for administration in this unit and several consultations have occurred with individuals who provide direct service to undergraduate and graduate students. However, we have many other staff members and administrators who support instructional needs, provide administrative support, support mail distribution, distribute office equipment and supplies, and so on. Determining how we can continue to operate administratively as a faculty is essential to operationalizing the vision.

FACULTY OF EDUCATION

Reorganization Proposal - April 13, 1994

The administrative units should:

1. have some conceptual integrity,

2. be strong, functioning units,

3. have involvement in both undergraduate and graduate education, and

It is assumed that:

1. staff members will have the opportunity to elect and negotiate departmental membership or joint appointment,

2. there will be greater fluidity between and amongst administrative units with respect to staffing and programs.

Proposed Administrative Units:

Departments:

Department of Educational Policy Studies - - focus on the philosophical, historical and sociological foundations of educational policy and practice, educational administration and the theory and practice of adult and higher education.

Department of Educational Psychology and Technology - - focus on the psychological foundations and instructional technological applications of educational practice.

Department of Elementary Education - - focus on elementary schools.

Department of Secondary Education - - focus on secondary schools.

School of Library and Information Studies - - focus on accredited MLIS program.

Division:

A Division of Technology in Education will be formed, as a Faculty-wide unit, with an academic head and other joint appointments from academic departments. This unit would include the Instructional Technology Centre, and Publication Services.

Effective Date: July 1, 1994

May 4, 2021 Education Faculty Council
Agenda Item 6.1: Overview of Proposed Vision for Initial Consideration
Dr. Evelyn Steinhauer's Open Statement

I'll keep my comments really brief. I thank you for sharing that in the way that you did, Lynn, and I appreciate that this has been a really complicated process. As we were talking this through process at Dean's Advisory Council and I was looking at this chart, I was thinking about it with my Cree hat on. I often will do that, when I'm working with a system that I can't really fully comprehend.

Within the Cree context, when I am working through a process such as this, I will translate it into the Cree language. I think about it as *mâmawohkamâtowin*. *Mâmawohkamâtowin* is a sophisticated way of being. It's working collaboratively with one another in coming to a process that would be really reasonable, and it would take into account everybody within the Faculty. Within this Cree way of being, the students are always at the center. This is how *mâmawohkamâtowin* works within a Cree governance system. Within our Cree way of being, our children, our students, and our Elders are always at the center, so I really appreciate that this model is working from that center and moving outward.

The other thing that I think about, as we work with students and we work to make sure they have really good experiences, is that we remember what we're working for. We're working for the greater good of those children who are going to be taught by our students, those children who are still unborn, who will be coming into the system. So to me, it really was a process that I had to take apart in that way, and in working this way the students are always at the centre. By keeping the students in the center, we are consistently reminded that we are dependent on one another to serve the students in the best possible way. Ultimately, we are here for the students.

Everything we do – the teaching, the research, the service, the administration – it's for the students and those students who will come in the future years. In turn, they can impact those students who are going to be teaching.

So really, when you look at this diagram – at least when I look at it in this Cree context – I think about it as a cyclical process. I see these people on the perimeters; I see how they are taking care of everyone in the center, without going into a hierarchical model.

We think about it as ***mâmawohkamâtowin***. So when we as a Faculty live by ***mâmawohkamâtowin***, we are modeling this principle for our students. The students learn about the importance of cooperative learning, which more often than not results in ***miyo-wîcêhtowin***. This is a significant concept in our way of being; it's basically the virtue of living in harmony together.

So, as I think about this process, I see how we, as a Faculty could come together, but that's just my own thinking and, of course, it is with my Cree hat on. When we as a Faculty work cooperatively, our students benefit; we all benefit in the end. Elders will tell us that ***mâmawohkamâtowin*** benefits everyone in this journey. It's not about us as individuals; in this case, it's about the relationships that we have with one another, and it's about the whole community, our whole Faculty.

I appreciate that I've had the opportunity to reflect on this vision. This isn't a model or an organizational structure – it is a vision. Now that I have had the opportunity to think about this process in this Cree way, I must say, I really do appreciate it even more. Of course, like you, I too have many more questions. I recognize that there is still much more work to be done, however, collectively we can do this. As I look at the circles within this diagram, I am filled with hope. Thank you for listening.

Dr. Evelyn Steinhauer, Professor, Associate Chair Graduate Studies, Department of Educational Policy Studies; Director, Aboriginal Teacher Education Program (ATEP).

Standards for Accreditation of Master's Programs in Library and Information Studies

Adopted by approval of the Council of the American Library Association, February 2, 2015

Committee on Accreditation of the American Library Association

Introduction

Purpose of Accreditation

Accreditation in higher education is defined as a collegial process based on self- and peer assessment for public accountability and improvement of academic quality.[1]

Accreditation serves to ensure educational quality, judged in terms of demonstrated results in supporting the educational development of students. Judgments are made by carefully vetted, unbiased practitioners and faculty professionals at the expert level.

These experts judge how well:

- Accreditation standards are met (and can continue to be met) by the institution or program;
- Elements such as curriculum, evaluation methods, faculty, resources and admission requirements are suited to the overall mission and level of program offerings and objectives;
- Students can be expected to fulfill the knowledge and skills requirements for completion of their programs.[2]

Authority and Responsibilities of the ALA Committee on Accreditation

The Council of the American Library Association (ALA) has designated the Committee on Accreditation "to be responsible for the execution of the accreditation program of the ALA and to develop and formulate standards of education..."[3] for graduate programs of library and information studies leading to a master's degree. The American Library Association Committee on Accreditation is recognized by the Council for Higher Education Accreditation as the accrediting agency for these programs.[4]

The Committee on Accreditation protects the public interest and provides guidance for educators. Prospective students, employers recruiting professional staff, and the general public concerned about the quality of library and information services have the right to know whether a given program of education is of good standing. By identifying those programs meeting recognized standards, the Committee offers a means of quality control in the professional staffing of library and information services.

[1] CHEA Recognition of Accrediting Organizations, Policy and Procedures (1998, revised June 28, 2010); Appendix A: Accreditation Defined. Retrieved March 28, 2014, http://chea.org/pdf/Recognition_Policy-June_28_2010-FINAL.pdf.
[2] Association of Specialized and Professional Accreditors (ASPA) (2013). "Quick Reference: Standards, Outcomes and Quality." Retrieved March 24, 2014, http://www.aspa-usa.org/system/files/inserts/ASPA_Standards_Jun12.pdf.
[3] American Library Association Handbook of Organization. (Chicago, IL: ALA 2013).
[4] The Council for Higher Education Accreditation (CHEA) is a national recognizing agency of higher education accrediting bodies that emerged from the dissolution of the Council on Postsecondary Accreditation (COPA). ALA discontinued U.S. Department of Education recognition review when the 1992 Higher Education Act limited the scope of recognition to only those agencies whose accreditation plays a "gatekeeping role" to establish eligibility for federal funding.

The Committee on Accreditation examines the evidence presented for each of the Standards; however, its final judgment is concerned with the totality of the accomplishment and the environment for learning. The decision regarding accreditation is approached from an evaluation of this totality rather than from a consideration of isolated particulars. Thus, failure to meet any particular component of a standard may not result in failure to meet that standard. Similarly, failure to meet a single standard may not result in failure to achieve accredited status for a program.

Evaluators of a program for accreditation purposes are vetted for bias, formally oriented, experienced, and capable.

Scope of Standards

These Standards are limited in their application to the assessment of graduate programs of library and information studies that lead to a master's degree. As a prerequisite to accreditation, the institution in which a program resides must be accredited by its appropriate accrediting agency.

The phrase "library and information studies" is understood to be concerned with recordable information and knowledge, and the services and technologies to facilitate their management and use. Library and information studies encompasses information and knowledge creation, communication, identification, selection, acquisition, organization and description, storage and retrieval, preservation, analysis, interpretation, evaluation, synthesis, dissemination, and management. This definition incorporates a field of professional practice and associated areas of study and research, regardless of a degree's name.

A unit's mission is relevant to master's program review; when the unit offers other educational programs, the contribution of those programs is also relevant. A unit may seek accreditation for more than one graduate program of education in library and information studies leading to a master's degree; when that is done, the goals, objectives, and learning outcomes of each program and their interrelationships are to be presented.

Terminology within the Standards

The academic unit that provides graduate education in library and information studies may be organized as an autonomous college within its university, as a department in a college, or otherwise, as appropriate within the institution. Within the Standards, the term "program" refers to an organization of people and educational experiences that comprise the degree.

The term "research" as used in the Standards is understood to be (1) broad in its inclusiveness of scholarly activities of a wide variety; and (2) inclusive of communication of results through appropriate means.

When the term "faculty" is used, the Standard applies to the faculty as a whole, including both full-time faculty members (tenured/tenure-track and non-tenure-track) and part-time faculty members. Reference to a subset of the faculty is designated by referring specifically to "full-time" or "part-time" faculty members, or to "each" or "individual" faculty members.

Systematic planning is an ongoing, active, broad-based approach to (a) continuous review and revision of a program's vision, mission, goals, objectives, and learning outcomes; (b) assessment of attainment of goals, objectives, and learning outcomes; (c) realignment and redesign of core activities in response to the results of assessment; and (d) communication of planning policies and processes, assessment activities, and results of assessment to program constituents. Effective broad-based, systematic planning requires engagement of the program's constituents and thorough and open documentation of those activities that constitute planning.

A glossary of accreditation terminology is available at the ALA-Office for Accreditation website, http://www.ala.org/accreditedprograms/standards/glossary.

Nature of the Standards

These Standards identify the indispensable components of library and information studies programs while recognizing programs' rights and obligations regarding initiative, experimentation, innovation, and individual programmatic differences. The Standards are indicative, not prescriptive, with the intent to foster excellence through a program's development of criteria for evaluating effectiveness, developing and applying qualitative and quantitative measures of these criteria, analyzing data from measurements, and applying analysis to program improvement.

The Standards stress innovation, and encourage programs to take an active role in and concern for future developments and growth in the field.

The nature of a demonstrably diverse society is referenced throughout the Standards because of the desire to recognize diversity, defined in the broadest terms, when framing goals and objectives, designing curricula, and selecting and retaining faculty and students.

The requirements of these Standards apply regardless of forms or locations of delivery of a program.

Philosophy of Program Review

The Committee on Accreditation determines the eligibility of a program for accredited status on the basis of evidence presented by a program and by the report of a visiting external review panel. The evidence supplied by the program in support of the Standards is evaluated against the statement of the program's mission and its program goals and objectives. A program's evidence is evaluated by trained, experienced, and capable evaluators.

Program goals and objectives are fundamental to all aspects of master's degree programs and form the basis on which educational programs are to be developed and upon which they are evaluated. Program goals and objectives are required to reflect and support student learning outcomes and the achievement of these outcomes.

This update to the 2008 *Standards* resulted from a six-year public review process via weblog, direct surveying of practitioners and LIS faculty, and online and open meetings at conference venues.

This document supersedes the 2008 *Standards for Accreditation*. It is based upon a synthesis of the views solicited during the review and revision process of 2008-2014.

The *Accreditation Process, Policies and Procedures (AP3)* document guides the accreditation process. Both the *Standards* and *AP3* are available online from the Office for Accreditation website, http://www.ala.org/offices/accreditation. Assistance in obtaining materials used by the Committee on Accreditation (COA) is provided by the Office for Accreditation. These materials consist of documents used in the accreditation process, as well as educational policy statements developed by relevant professional organizations that can be used to inform the design and evaluation of a master's degree program.

Standard I: Systematic Planning

I.1 The program's mission and goals, both administrative and educational, are pursued, and its program objectives achieved, through implementation of an ongoing, broad-based, systematic planning process that involves the constituencies that the program seeks to serve. Elements of systematic planning include:

I.1.1 Continuous review and revision of the program's vision, mission, goals, objectives, and student learning outcomes;

I.1.2 Assessment of attainment of program goals, program objectives, and student learning outcomes;

I.1.3 Improvements to the program based on analysis of assessment data;

I.1.4 Communication of planning policies and processes to program constituents. The program has a written mission statement and a written strategic or long-range plan that provides vision and direction for its future, identifies needs and resources for its mission and goals, and is supported by university administration. The program's goals and objectives are consistent with the values of the parent institution and the culture and mission of the program and foster quality education.

I.2 Clearly defined student learning outcomes are a critical part of the program's goals. These outcomes describe what students are expected to know and be able to do by the time of graduation. They enable a faculty to arrive at a common understanding of the expectations for student learning and to achieve consistency across the curriculum. Student learning outcomes reflect the entirety of the learning experience to which students have been exposed. Student learning outcomes address:

I.2.1 The essential character of the field of library and information studies;

I.2.2 The philosophy, principles, and ethics of the field;

I.2.3 Appropriate principles of specialization identified in applicable policy statements and documents of relevant professional organizations;

I.2.4 The importance of research to the advancement of the field's knowledge base;

I.2.5 The symbiotic relationship of library and information studies with other fields;

I.2.6 The role of library and information services in a diverse global society, including the role of serving the needs of underserved groups;

I.2.7 The role of library and information services in a rapidly changing technological society;

I.2.8 The needs of the constituencies that the program seeks to serve.

I.3 Program goals and objectives incorporate the value of teaching and service to the field.

I.4 Within the context of these Standards each program is judged on the extent to which it attains its objectives. In accord with the mission of the program, clearly defined, publicly stated, and regularly reviewed program goals and objectives form the essential frame of reference for meaningful external and internal evaluation.

1.4.1 The evaluation of program goals and objectives involves those served: students, faculty, employers, alumni, and other constituents.

1.5 The program has explicit, documented evidence of its ongoing decision-making processes and the data to substantiate the evaluation of the program's success in achieving its mission, goals and objectives.

1.6 The program demonstrates how the results of the evaluation are systematically used to improve the program and to plan for the future.

Standard II: Curriculum

II.1 The curriculum is based on goals and objectives, and evolves in response to an ongoing systematic planning process involving representation from all constituencies. Within this general framework, the curriculum provides, through a variety of educational experiences, for the study of theory, principles, practice, and legal and ethical issues and values necessary for the provision of service in libraries and information agencies and in other contexts. The curriculum is revised regularly to keep it current.

II.2 The curriculum is concerned with information resources and the services and technologies to facilitate their management and use. Within this overarching concept, the curriculum of library and information studies encompasses information and knowledge creation, communication, identification, selection, acquisition, organization and description, storage and retrieval, preservation and curation, analysis, interpretation, evaluation, synthesis, dissemination, use and users, and management of human and information resources.

The curriculum

II.2.1 Fosters development of library and information professionals who will assume a leadership role in providing services and collections appropriate for the communities that are served;

II.2.2 Emphasizes an evolving body of knowledge that reflects the findings of basic and applied research from relevant fields;

II.2.3 Integrates technology and the theories that underpin its design, application, and use;

II.2.4 Responds to the needs of a diverse and global society, including the needs of underserved groups;

II.2.5 Provides direction for future development of a rapidly changing field;

II.2.6 Promotes commitment to continuous professional development and lifelong learning, including the skills and competencies that are needed for the practitioner of the future.

II.3 The curriculum provides the opportunity for students to construct coherent programs of study that allow individual needs, goals, and aspirations to be met within the context of program requirements established by the school and that will foster the attainment of student learning outcomes. The curriculum includes as appropriate cooperative degree programs, interdisciplinary coursework and research, experiential opportunities, and other similar activities. Course content and sequence relationships within the curriculum are evident.

II.4 Design of general and specialized curricula takes into account the statements of knowledge and competencies developed by relevant professional organizations.

II.5 Procedures for the continual evaluation of the curriculum are established with input not only from faculty but also representatives from those served. The curriculum is continually evaluated with input not only from faculty, but also representatives from those served including students, employers, alumni, and other

constituents. Curricular evaluation is used for ongoing appraisal and to make improvements. Evaluation of the curriculum includes assessment of students' achievements.

II.6 The program has explicit, documented evidence of its ongoing decision-making processes and the data to substantiate the evaluation of the curriculum.

II.7 The program demonstrates how the results of the evaluation of the curriculum are systematically used to improve the program and to plan for the future.

Standard III: Faculty

III.1 The program has a faculty capable of accomplishing program objectives. Full-time faculty members (tenured/tenure-track and non-tenure-track) are qualified for appointment to the graduate faculty within the parent institution. The full-time faculty are sufficient in number and in diversity of specialties to carry out the major share of the teaching, research, and service activities required for the program, wherever and however delivered. Part-time faculty, when appointed, balance and complement the competencies of the full-time tenured/tenure-track and non-tenure-track faculty and are integral to the program. Particularly in the teaching of specialties that are not represented in the expertise of the full-time faculty, part-time faculty enrich the quality and diversity of the program.

III.2 The program demonstrates the high priority it attaches to teaching, research, and service by its appointments and promotions; by encouragement of excellence in teaching, research, and service; and through provision of a stimulating learning and research environment.

III.3 The program has policies to recruit and retain faculty from diverse backgrounds. Explicit and equitable faculty personnel policies and procedures are published, accessible, and implemented.

III.4 The qualifications of each faculty member include competence in designated teaching areas, technological skills and knowledge as appropriate, effectiveness in teaching, and active participation in relevant organizations.

III.5 For each full-time faculty member, the qualifications include a sustained record of accomplishment in research or other appropriate scholarship (such as creative and professional activities) that contribute to the knowledge base of the field and to their professional development.

III.6 The faculty hold advanced degrees from a variety of academic institutions. The faculty evidence diversity of backgrounds, ability to conduct research in the field, and specialized knowledge covering program content. In addition, they demonstrate skill in academic planning and assessment, have a substantial and pertinent body of relevant experience, interact with faculty of other disciplines, and maintain close and continuing liaison with the field. The faculty nurture an intellectual environment that enhances the accomplishment of program objectives.

III.7 Faculty assignments relate to the needs of the program and to the competencies of individual faculty members. These assignments assure that the quality of instruction is maintained throughout the year and take into account the time needed by the faculty for teaching, student counseling, research, professional development, and institutional and professional service.

III.8 Procedures are established for systematic evaluation of all faculty; evaluation considers accomplishment and innovation in the areas of teaching, research, and service. Within applicable institutional policies, faculty, students, and others are involved in the evaluation process.

III.9 The program has explicit, documented evidence of its ongoing decision-making processes and the data to substantiate the evaluation of the faculty.

III.10 The program demonstrates how the results of the evaluation of faculty are systematically used to improve the program and to plan for the future.

Standard IV: Students

IV.1 The program formulates recruitment, admission, retention, financial aid, career services, and other academic and administrative policies for students that are consistent with the program's mission and program goals and objectives. These policies include the needs and values of the constituencies served by the program. The program has policies to recruit and retain students who reflect the diversity of North America's communities. The composition of the student body is such that it fosters a learning environment consistent with the program's mission and program goals and objectives.

IV.2 Current, accurate, and easily accessible information about the program is available to students and the general public. This information includes documentation of progress toward achievement of program goals and objectives, descriptions of curricula, information on faculty, admission requirements, availability of financial aid, criteria for evaluating student performance, assistance with placement, and other policies and procedures. The program demonstrates that it has procedures to support these policies.

IV.3 Standards for admission are applied consistently. Students admitted to the program have earned a bachelor's degree from an accredited institution; the policies and procedures for waiving any admission standard or academic prerequisite are stated clearly and applied consistently. Assessment of an application is based on a combined evaluation of academic, intellectual, and other qualifications as they relate to the constituencies served by the program, the program's goals and objectives, and the career objectives of the individual. Within the framework of institutional policy and programs, the admission policy for the program ensures that applicants possess sufficient interest, aptitude, and qualifications to enable successful completion of the program and subsequent contribution to the field.

IV.4 Students construct a coherent plan of study that allows individual needs, goals, and aspirations to be met within the context of requirements established by the program. Students receive systematic, multifaceted evaluation of their achievements. Students have access to continuing opportunities for guidance, counseling, and placement assistance.

IV.5 The program provides an environment that fosters student participation in the definition and determination of the total learning experience. Students are provided with opportunities to:

IV.5.1 Participate in the formulation, modification, and implementation of policies affecting academic and student affairs;

IV.5.2 Participate in research;

IV.5.3 Receive academic and career advisement and consultation;

IV.5.4 Receive support services as needed;

IV.5.5 Form student organizations;

IV.5.6 Participate in professional organizations.

IV.6 The program applies the results of evaluation of student achievement to program development. Procedures are established for systematic evaluation of the extent to which the program's academic and administrative policies and activities regarding students are accomplishing its objectives. Within applicable institutional policies, faculty, students, staff, and others are involved in the evaluation process.

IV.7 The program has explicit, documented evidence of its ongoing decision-making processes and the data to substantiate the evaluation of student learning outcomes, using appropriate direct and indirect measures as well as individual student learning, using appropriate direct and indirect measures.

IV.8 The program demonstrates how the results of the evaluation of student learning outcomes and individual student learning are systematically used to improve the program and to plan for the future.

Standard V: Administration, Finances, and Resources

V.1 The program is an integral yet distinctive academic unit within the institution. As such, it has the administrative infrastructure, financial support, and resources to ensure that its goals and objectives can be accomplished. Its autonomy is sufficient to assure that the intellectual content of its program, the selection and promotion of its faculty, and the selection of its students are determined by the program within the general guidelines of the institution. The parent institution provides both administrative support and the resources needed for the attainment of program objectives.

V.2 The program's faculty, staff, and students have the same opportunities for representation on the institution's advisory or policy-making bodies as do those of comparable units throughout the institution. Administrative relationships with other academic units enhance the intellectual environment and support interdisciplinary interaction; further, these administrative relationships encourage participation in the life of the parent institution. Decisions regarding funding and resource allocation for the program are made on the same basis as for comparable academic units within the institution.

V.3 The administrative head of the program has title, salary, status, and authority comparable to heads of similar units in the parent institution. In addition to academic qualifications comparable to those required of the faculty, the administrative head has leadership skills, administrative ability, experience, and understanding of developments in the field and in the academic environment needed to fulfill the responsibilities of the position.

V.4 The program's administrative head nurtures an environment that enhances the pursuit of the mission and program goals and the accomplishment of its program objectives; that environment also encourages faculty and student interaction with other academic units and promotes the socialization of students into the field.

V.5 The program's administrative and other staff support the administrative head and faculty in the performance of their responsibilities. The staff contributes to the fulfillment of the program's mission, goals, and objectives. Within its institutional framework decision-making processes are determined mutually by the administrative head and the faculty, who regularly evaluate these processes and use the results.

V.6 The parent institution provides continuing financial support for development, maintenance, and enhancement of library and information studies education in accordance with the general principles set forth in these Standards. The level of support provides a reasonable expectation of financial viability and is related to the number of faculty, administrative and support staff, instructional resources, and facilities needed to carry out the program's teaching, research, and service.

V.7 Compensation for the program's faculty and other staff is equitably established according to their education, experience, responsibilities, and accomplishments and is sufficient to attract, support, and retain personnel needed to attain program goals and objectives.

V.8 Institutional funds for research projects, professional development, travel, and leaves with pay are available on the same basis as in comparable units of the institution. Student financial aid from the parent institution is available on the same basis as in comparable units of the institution.

V.9 The program has access to physical and technological resources that allow it to accomplish its objectives in the areas of teaching, research and service. The program provides support services for teaching and learning regardless of instructional delivery modality.

V.10 Physical facilities provide a functional learning environment for students and faculty; enhance the opportunities for research, teaching, service, consultation, and communication; and promote efficient and effective administration of the program.

V.11 Instructional and research facilities and services for meeting the needs of students and faculty include access to information resources and services, computer and other information technologies, accommodations for independent study, and media production facilities.

V.12 The staff and the services provided for the program by libraries, media centers, and information technology units, as well as all other support facilities, are appropriate for the level of use required and specialized to the extent needed. These services are delivered by knowledgeable staff, convenient, accessible to people with disabilities, and are available when needed.

V.13 The program's systematic planning and evaluation process includes review of its administrative policies, its fiscal and support policies, and its resource requirements. The program regularly reviews the adequacy of access to physical resources and facilities for the delivery of face-to-face instruction and access to the technologies and support services for the delivery of online education. Within applicable institutional policies, faculty, staff, students, and others are involved in the evaluation process.

V. 14 The program has explicit, documented evidence of its ongoing decision-making processes and the data to substantiate the evaluation of administration, finances, and resources.

V. 15 The program demonstrates how the results of the evaluation of administration, finances, and resources are systematically used to improve the program and to plan for the future.

(End of Standards)

88. **REPORT OF THE GFC PLANNING AND PRIORITIES COMMITTEE (PPC)**

Members had before them the GFC PPC's report which was presented by the Chair.

89. **REPORT OF THE UNIVERSITY RESEARCH POLICY COMMITTEE (URPC)**

Members considered the URPC's report for March 25, 1991 to June 18, 1991, which was presented by the Vice-President (Research) CR James.

90. **FACULTY OF LIBRARY AND INFORMATION STUDIES PROPOSED MERGER WITH THE FACULTY OF EDUCATION: RECOMMENDATION FROM THE GFC PLANNING AND PRIORITIES COMMITTEE (PPC)**

Members considered PPC's recommendation concerning a proposed merger of the Faculty of Library and Information Studies with the Faculty of Education, as set out in the material before them.

It was noted that the Executive Committee considered this proposal on June 14, 1991 and recommended that GFC endorse this proposal.

It was further noted that the Academic Development Committee (ADC) considered and endorsed this recommendation on June 5, 1991, following a preliminary discussion on April 10, 1991. PPC considered, amended and endorsed the proposal on June 13, 1991; PPC was responsible for making recommendations to GFC concerning the establishment of termination of Faculties.

It was noted that the initial proposal for the merger of the Faculty of Library and Information Studies with another Faculty was set out in the document "Maintaining Excellence and Accessibility in an Environment of Budgetary Restraint" as outlined in the material before members.

Vice-President (Academic) JP Meekison introduced the recommendation. Dean S Bertram expressed her gratitude to the Faculty of Education, and Dr A Mackay noted that the Faculty of Education was very supportive of the move and welcomed the proposed merger.

MOTION It was **MOVED** by Vice-President (Academic) Meekison and seconded by Mr McCormack that the recommendation from PPC as noted below be approved:

> THAT the Faculty of Library and Information Studies be restructured as the School of Library and Information Studies and be placed administratively within the Faculty of Education effective July 1, 1991 in accordance with recommendation 12 in the document "Maintaining Excellence and Accessibility in an Environment of Budgetary Restraint" with the following understanding:
>
> > The operation of the School of Library and Information Studies within the Faculty of Education will correspond primarily to that of a Department.
> >
> > The Dean of the Faculty of Library and Information Studies will become the Director of the School of

> Library and Information Studies.
>
> The Faculty Council of the Faculty of Library and Information Studies will become the School Council of the School of Library and Information Studies. The composition will remain the same with the addition of the Dean of the Faculty of Education. The School Council will function as a Departmental Council within the Faculty of Education.
>
> The School of Library and Information Studies Council will determine the mission, goals and objectives of the School of Library and Information Studies and the MLIS program.
>
> The School of Library and Information Studies will have a distinctive section in the University Calendar. The courses will remain labelled LIS. The degree will remain Master of Library and Information Studies.
>
> The School of Library and Information Studies will remain in its present space in Rutherford South. The 'Z' collection will remain in Rutherford. The allocation from the Library's collection budget for the purchase of library and information studies materials (monographs and serials) will remain under the control of the Humanities and Social Sciences Library.
>
> The Faculty of Education recognizes that accreditation is a *sine qua non* for the MLIS program.

CARRIED

91. **FINANCIAL EXIGENCY: RECOMMENDATION FROM THE VICE-PRESIDENT (ACADEMIC) AND VICE-PRESIDENT (FINANCE AND ADMINISTRATION)**

Members considered a proposal from the Vice-President (Academic) and the Vice-President (Finance and Administration) that GFC declare that, for purposes of Article 21 of the APO Agreement, a state of financial exigency exists for fiscal year 1991-92.

It was noted that the Executive Committee considered this proposal on June 14, 1991 and recommended that GFC endorse this proposal.

It was further noted that: on June 13, 1991 the GFC Planning and Priorities Committee (PPC) considered and endorsed this proposal and suggested some changes which were incorporated into the material before members; on May 21, 1991 GFC endorsed procedures for determining whether or not a state of financial exigency existed; and on June 7, 1991 the Board approved modified procedures which were set out in the correspondence before members. Relevant legislation (Article 21 of the APO Agreement) and background information were before members.

MOTION It was **MOVED** by Vice-President (Academic) Meekison and seconded by Vice-President (Finance and Administration) Harris that GFC approve the recommendation that, for purposes of Article 21 of the APO

University of Alberta Inter-departmental Correspondence

FACULTY OF LIBRARY AND INFORMATION STUDIES PROPOSED MERGER WITH THE FACULTY OF EDUCATION: RECOMMENDATION FROM THE GFC PLANNING AND PRIORITIES COMMITTEE (PPC) Attachment 4

to: Dr P Davenport
President
3-1 University Hall

date: June 5, 1991

our file:

your file:

from: Mrs ER Phillips
Associate Director, University Secretariat
2-5 University Hall

subject: **Faculty of Library and Information Studies Proposed Merger with Faculty of Education: Recommendation from the Academic Development Committee**

On June 5, 1991, the Academic Development Committee considered and endorsed the following motion:

> THAT the Faculty of Library and Information Studies be restructured as the School of Library and Information Studies and be placed administratively within the Faculty of Education effective July 1, 1991 in accordance with recommendation 12b.* in the document "Maintaining Excellence and Accessibility in an Environment of Budgetary Restraint" with the following understanding:
>
> > The operation of the School of Library and Information Studies within the Faculty of Education will correspond primarily to that of a Department.
> >
> > The Dean of the Faculty of Library and Information Studies will become the Director of the School of Library and Information Studies.
> >
> > The Faculty Council of the Faculty of Library and Information Studies will become the School Council of the School of Library and Information Studies. The composition will remain the same with the addition of the Dean of the Faculty of Education. The School Council will function as a Departmental Council within the Faculty of Education.
> >
> > The School of Library and Information Studies Council will determine the mission, goals and objectives of the School of Library and Information Studies and the MLIS program.
> >
> > The School of Library and Information Studies will have a distinctive section in the University Calendar. The courses will remain labelled LIS. The degree will remain Master of Library and Information Studies.

* PPC
~~The Executive~~ amended this to read: "...in accordance with recommendation 12...."

Attachment 4

The School of Library and Information Studies will remain in its present space in Rutherford South. The 'Z' collection will remain in Rutherford. The allocation from the Library's collection budget for the purchase of library and information studies materials (monographs and serials) will remain under the control of the Humanities and Social Sciences Library.

The Faculty of Education recognizes that accreditation is a *sine qua non* for the MLIS program.

Guidelines for transition during an interim period (July 1, 1991 - June 30, 1992) are set out on pages 2 and 3 of the attached proposal.

This recommendation may now be considered by PPC (June 13) and by the GFC Executive Committee (June 14) before being forwarded to GFC. PPC's recommendation will be announced at the Executive meeting.

Evelyn Phillips

Evelyn Phillips

ERP/trr

cc: Dr S Bertram, Dean, Faculty of Library and Information Studies
Dr RS Patterson, Dean, Faculty of Education
Dr H Zingle, Associate Dean, Faculty of Education
Dr JP Meekison, Vice-President (Academic)
Ms EA Schoeck, Director, University Secretariat

PROPOSAL
for the restructuring of the
Faculty of Library and Information Studies
as the
School of Library and Information Studies
within the
Faculty of Education

Maintaining Excellence and Accessibility in an Environment of Budgetary Restraint. **Recommendation 12. Faculty of Library and Information Studies**

a. That the Faculty of Library and Information Studies be restructured as a School as of June 30, 1991 or 1992, with terms and conditions established by General Faculties Council.

b. That the School of Library and Information Studies be placed administratively within the Faculty of Arts or another Faculty; and that the terms and conditions established by General Faculties Council allow for autonomy with respect to budget and curriculum planning for the degree program with academic staff being evaluated by the Faculty in which the School is placed administratively, for tenure, salary and promotional purposes and with appointments being approved by the Faculty Dean.

MOTION:

That the Faculty of Library and Information Studies be restructured as the School of Library and Information Studies and placed administratively within the Faculty of Education effective July 1, 1991 in accordance with Recommendation 12.

With the following understandings:

The operation of the School of Library and Information Studies within the Faculty of Education will correspond primarily to that of a Department.

The Dean of the Faculty of Library and Information Studies will become the Director of the School of Library and Information Studies.

The Faculty Council of the Faculty of Library and Information Studies will become the School Council of the School of Library and Information Studies. The composition will remain the same with the addition of the Dean of the Faculty of Education. The School Council will function as a Departmental Council within the Faculty of Education.

Attachment 4

The School of Library and Information Studies Council will determine the mission, goals and objectives of the School of Library and Information Studies and the MLIS program.

The School of Library and Information Studies will have a distinctive section in the University Calendar. The courses will remain labelled LIS. The degree will remain Master of Library and Information Studies.

The School of Library and Information Studies will remain in its present space in Rutherford South. The 'Z' collection will remain in Rutherford. The allocation from the Library's collection budget for the purchase of library and information studies materials (monographs and serials) will remain under the control of the Humanities and Social Sciences Library.

The Faculty of Education recognizes that accreditation is a *sine qua non* for the MLIS program.

Interim Period, July 1, 1991 - June 30, 1992

In addition to the normal transition time required to revise the present Faculty of Library and Information Studies procedures to correspond to the Faculty of Education procedures, there will be some transitional conditions in place during the interim period July 1, 1991 - June 30, 1992.

In particular, transitional conditions will apply to increment, promotion, tenure and study leave deliberations during this interim period.

The Faculty of Library and Information Studies Standards for the Evaluation of Academic Staff for Salary Increments and Promotions will remain in effect for all School of Library and Information Studies faculty members.

The existing Faculty of Library and Information Studies FSPC policies and procedures will be used by the School of Library and Information Studies (covering the increments, promotions, and study leaves to take effect July 1, 1992) with the standard 110% rule for increments and the 10% rule for study leaves.

The composition of the Faculty/School of Library and Information Studies FSPC will be revised so that the Dean of the Faculty of Education will become Chair (replacing a Faculty of Library and Information Studies faculty member).

The existing Faculty of Library and Information Studies Tenure Committee policies and procedures will be used by the School of Library and Information Studies (covering tenure decisions to take effect July 1, 1992).

The composition of the Faculty/School of Library and Information Studies Tenure Committee will be revised so that the Dean of the Faculty of Education will become Chair (replacing a Faculty of Library and Information Studies faculty member).

The [revised] Faculty/School of Library and Information Studies FSPC will also operate separately during 1992-1993 for increments and promotions (covering performance during 1991-1992).

Election to the [revised] Faculty/School of Library and Information Studies FSPC and Tenure Committee will be done by the School of Library and Information Studies Council.

In all other matters dealing with faculty (appointments, ethics reviews, etc.), the School of Library and Information Studies faculty members will follow the policies and procedures of the Faculty of Education beginning July 1, 1991.

All budgetary matters will remain under the control of the School of Library and Information Studies during 1991-1992.

The School of Library and Information Studies Council will make appointments for 1991-1992 to those Faculty of Education Council committees where School of Library and Information Studies representation is required.

Until representation is possible through the Faculty of Education, the School of Library and Information Studies will keep its current representative on GFC and its current representative on AASUA Executive.

Some mechanism for facilitating changes in policies and procedures and making them known to faculty, students and staff of the School of Library and Information Studies will be put in place.

passed unanimously by the Faculty of Library and Information Studies Council May 17, 1991.

passed unanimously by the Faculty of Education Council May 28, 1991.

University of Alberta
Edmonton
Canada T6G 2J4

Faculty of Library and Information Studies
3-20 Rutherford South
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NEWS

brief history

1966	GFC approved the establishment of the School of Library Science
1967	Sarah Rebecca Reed appointed first Director
1968	first one-year BLS students admitted, School located on the second floor of the Education Library
1970	first accreditation
1971	one-year MLS approved, School moved to third and first floors of Rutherford South
1975	became the Faculty of Library Science
1976	first two-year MLS students admitted
1979	second accreditation
1983	major curriculum revision
1986	third accreditation first review of administrative status
1988	became the Faculty of Library and Information Studies, degree became the MLIS
1991	began Self-Study process for fourth accreditation second review of administrative status

positions

9 faculty positions (10 in 1987)
3 non-academic positions (4 in 1987)

enrollment

	FT	PT	Total
1986-87	64	15	79
1987-88	64	12	76
1988-89	64	10	74
1989-90	64	16	80
1990-91	57	16	73
1991-92	50 admitted to date		

graduates

1969-1976	408 BLS	5 MLS	
1977-1986		274 MLS	
1987		36 MLS	
1988		23 MLS	
1989			13 MLIS
1990			25 MLIS
1991			30 MLIS
			41 MLIS (Spring)

May 28, 1991

3. LIBRARY AND INFORMATION STUDIES: PRELIMINARY DISCUSSION OF RESTRUCTURING

There was a preliminary discussion of the following recommendations put forward in the document "Maintaining Excellence and Accessibility in an Environment of Budgetary Restraint":

> That the Faculty of Library and Information Studies be restructured as a School as of June 30, 1991 or 1992, with terms and conditions established by General Faculties Council.
>
> That the School of Library and Information Studies be placed administratively within the Faculty of Arts or another Faculty; and that the terms and conditions established by General Faculties Council allow for autonomy with respect to budget and curriculum planning for the degree program with academic staff being evaluated by the Faculty in which the School is placed administratively, for tenure, salary and promotional purposes and with appointments being approved by the Faculty Dean.

Relevant background information was before members. Members discussed the rationale for proposing a merger between LIS and another Faculty and the importance of recognizing and meeting the needs of both LIS and the Faculty involved in the merger.

Dr S Bertram, Dean, and Dr R Brundin of the Faculty of Library and Information Studies joined the meeting. Dean Bertram discussed the history and operation of the Faculty and the accreditation process. She indicated in her presentation that, if merged with another Faculty, LIS

would have no additional space requirements. She noted that LIS was currently involved in the accreditation process and suggested, therefore, that the proposed merger take place before or after the site visit since the self study (submitted for accreditation) should be consistent with actual operations at the time of the site visit. She said that she had discussed the possibility of a merger with the Dean of Education and they felt that an agreement could be reached. Because of the professional nature of the program, she continued, a merger with the Faculty of Education would be best at this time; however, she felt that a merger between LIS and the kind of Faculty (discussed on page 21 of the budget document) which focused on the concept of wellness might be more appropriate. She hoped that there would be enough flexibility in the current merger to allow LIS to consider other options in the future.

Discussion included the following points:

- Dean Bertram had discussed the merger informally with the Faculties of Education, Arts, Business, Home Economics and Physical Education and Recreation.
- If LIS was a department rather than a School, curricula and budgets would have to be approved by the Faculty Council and this would be perceived by the American Library Association as a loss of autonomy.
- There was the desire to move into the area of expert systems; however, the program covered the basics of information studies and there were no resources to expand.
- If LIS moved to Education there would be the perception, at least initially, that the program was to train school librarians.
- There were no plans to develop a PhD program; individuals could be accommodated on an ad hoc basis.
- There were currently two service courses offered to Education students (eg, Elementary Education, Secondary Education); there were no resources to expand or increase service teaching. A member suggested that increasing the amount of service teaching would increase student awareness of the program and alleviate the problem of the program being isolated. Dean Bertram noted that this service teaching component was not required of other professional Faculties.
- The LIS program included courses on bibliographic instruction to teach librarians how to instruct technicians and library users on how to access information.
- It would have been easier for LIS to discuss possible mergers with other Faculties if the Faculty of Arts had not been mentioned specifically in the recommendation.

Dean Bertram felt that the merger should be done either very quickly so that the self study documentation was consistent with the site visit or be postponed until after the site visit. She felt that accreditation would not be adversely affected by restructuring of the Faculty to a School (as outlined in the recommendation); however, she noted that not everyone in the Faculty agreed with this view and a merger proposal would have to be discussed by the Faculty Council before being returned to ADC.

Dean Bertram felt that convergence of the LIS and Education evaluation criteria for salary and promotions would require some transition time (perhaps two years) with consultation between the School Council and the

Faculty Council. It was noted that it would be possible for LIS to retain its salaries and promotion criteria within the Faculty of Education. Dean Bertram hoped that there would be a similar transitional period for tenure decisions. After discussion, members agreed that there would have to be further consideration of the composition and reporting relationship of the School's selection committees and the relationship between the School Council and the Faculty Council.

The Chair suggested, and Dean Bertram agreed, that LIS would proceed with consultations with Education to develop a proposal for merger and return the proposal to ADC for consideration. [Following the meeting it was agreed that the proposal would be considered by each Faculty Council before being presented to ADC.]

The Chair thanked the guests, who then withdrew.

A member hoped that there would be more interaction between LIS and the Faculty of Education faculty as a result of the merger; otherwise, he felt that neither Faculty would benefit.

3. **FACULTY OF LIBRARY AND INFORMATION STUDIES: PROPOSED MERGER WITH THE FACULTY OF EDUCATION**

Members considered the above-noted proposal as set out in Appendix A. [There was a preliminary discussion by PPC on April 10, 1991 of the recommendation put forward in the document "Maintaining Excellence and Accessibility in an Environment of Budgetary Restraint" concerning the Faculty of Library and Information Studies.]

Dr S Bertram, Dean, and Dr A Altmann of the Faculty of Library and Information Studies, and Dr R Patterson, Dean, and Dr HW Zingle, Associate Dean of the Faculty of Education, were in attendance. Dean Bertram presented the proposal noting that it had been unanimously approved by both Faculty Councils.

The Chair discussed the recommendation noting that it had been driven primarily by the size of the unit and the difficulties which could arise from having a Faculty Salaries and Promotions Committee (FSPC) which evaluated only nine individuals. He emphasized that the FLIS FSPC had operated effectively to date.

There was a brief discussion of how the School of Library and Information Studies SPC would continue to operate separately during 1992-93 to evaluate performance for the 1991-92 interim period.

The Chair thanked the guests, who then withdrew.

MOTION

It was **MOVED** by Professor Cullen and seconded by Professor Decore that ADC endorse the following Motion:

> That the Faculty of Library and Information Studies be restructured as the School of Library and Information Studies and be placed administratively within the Faculty of Education effective July 1, 1991 in accordance with recommendation 12b of the document "Maintaining Excellence and Accessibility in an Environment of Budgetary Restraint" with the following understanding:
>
> > The operation of the School of Library and Information Studies within the Faculty of Education will correspond primarily to that of a Department.
> > The Dean of FLIS will become the Director of the School of Library and Information Studies.
> >
> > The Faculty Council of the Faculty of Library and Information Studies will become the School Council of the School of Library and Information Studies. The composition will remain the same with the addition of the Dean of the Faculty of Education. The School Council will function as a Departmental Council with the Faculty of Education.
> >
> > The School of Library and Information Studies will determine the mission, goals and objectives of the School of Library and Information Studies and the MLIS program.

The School of Library and Information Studies will have a distinctive section in the University Calendar. The courses will remain labelled LIS. The degree will remain Master of Library and Information Studies.

The School of Library and Information Studies will remain in its present space in Rutherford South. The 'Z' collection will remain in Rutherford. The allocation from the Library's collection budget for the purchase of library and information studies materials (monographs and serials) will remain under the control of the Humanities and Social Sciences Library.

The Faculty of Education recognizes that the accreditation is a *sine qua non* for the MLIS program.

CARRIED

Procedures for transition during an interim period (July 1, 1991 - June 30, 1992) are set out on pages 2 and 3 of Appendix A.

3.3.8 Faculty of Library and Information Studies

We are proposing that one small Faculty be merged with another Faculty. Such a move would accomplish a streamlining of administrative structures and procedures. While there may be some budgetary savings over time, the major rationale for such a merger is not budget driven.

The unit which is being proposed for such a merger is the Faculty of Library and Information Studies. This unit has a unique identity as well as its own graduate degree program. The Faculty has an incumbent Dean and a Faculty Council.

This program was established here in 1966. The Bachelor of Library Science degree was first offered in 1968. In 1976 a two year master's degree replaced the bachelor's degree and more recently the Faculty and its degree program were renamed Library and Information Studies. The Faculty has no undergraduate program.

This professional field is a 20th century development. The roles of members of the profession have evolved from being traditional custodial librarians for educational, cultural and recreational activities to information access specialists. Because of the new and challenging demands created by these changes the philosophy, goals and objectives of professional services and educational programs are undergoing re-evaluation and re-orientation in Alberta, Canada and in the world.

There are seven graduate education programs in library and information studies in Canada today: British Columbia, Alberta, Western Ontario, Toronto, McGill, Montreal, Dalhousie. All of these schools and faculties are members of the Canadian Association for Graduate Education in Library, Archival, and Information Studies. Accreditation is administered by the Committee on Accreditation of the American Library Association. Canadian programs are accredited by the American Library Association under an agreement with the Canadian Library Association. All programs are evaluated on the basis of program goals and objectives, curriculum, faculty, students, governance, administration, and financial support and physical resources and facilities. To date the current program has been accredited three times: in 1970, 1979, and 1986. The next review for accreditation will take place in 1992.

The operating budget for 1990-91 indicates that 9 FTE academic staff and 3 FTE nonacademic staff are employed in the unit. The total budget is $796,334. Given the current quota, the faculty complement appears to be the minimum necessary to maintain viability. As in the case of Student Counselling Services, the unit is too small for Faculty status: it seems inappropriate for Library and Information Studies to constitute a separate Faculty, with a Faculty Salaries and Promotions Committee which evaluates only nine individuals.

The master's program serves an essential role in educating library and information professionals in the Province of Alberta and to a lesser extent in other prairie provinces. It has attracted academically strong students who are well received as graduates. The PACCR report noted that the program is producing the kind of graduate the library profession wants. This report also identified the relative isolation of this program from other units within the University. A suggestion was made to incorporate this unit into a larger unit

such as a Faculty of Professional Schools, a Faculty of Communication Studies, Management or Interdisciplinary Studies. The Faculty was willing to explore these options, but did not see advantages to a change in organization at that time.

Student enrollment in the period 1985-86 - 1989-90 remained relatively constant in this program. An average of 64 full-time and 15 part-time students were enrolled during this period. In 1990-91, the full-time enrollment was 57.

The accreditation standards established by the accrediting body for this program requires that the unit be a distinctive and autonomous unit within the University. According to the Universities Act, when General Faculties Council authorizes a school to have a school council, the director of the school may exercise all the powers, duties and functions of a dean of a faculty and the school council shall be of the same nature as and may exercise all the powers, duties and functions of a faculty council, subject to any conditions or restrictions that are imposed by General Faculties Council.

Recommendation 12. Faculty of Library and Information Studies.

a. That the Faculty of Library and Information Studies be restructured as a School as of June 30, 1991 or 1992, with terms and conditions established by General Faculties Council.

b. That the School of Library and Information Studies be placed administratively within the Faculty of Arts or another Faculty; and that the terms and conditions established by General Faculties Council allow for autonomy with respect to budget and curriculum planning for the degree program with academic staff being evaluated by the Faculty in which the School is placed administratively, for tenure, salary and promotional purposes and with appointments being approved by the Faculty Dean.

Governance Executive Summary
Action Item

Agenda Title	**University of Alberta 2022-2023 Tuition Fee Proposal and Student Financial Aid**

Motions

Motion: THAT the Board of Governors, on the recommendation of the Board Finance and Property Committee and the General Faculties Council Academic Planning Committee, approve the Tuition Proposal for Fall 2022 as outlined in the following table, with exclusions as outlined below:

Category of Student	**Proposed Increase for Fall 2022**	**Financial Support**
Domestic Undergraduate (incoming and continuing students)[1]	7%	15% of net increase
International Undergraduate (continuing students admitted prior to Fall 2020)	4%	7.55%[2]
Domestic Graduate Thesis (continuing students admitted prior to Fall 2020)	7% increase with rebate to 2.67%[3]	15% of net increase
Domestic Graduate Thesis (2020 entry and beyond)[1]	7%	15% of net increase
Domestic Graduate Course-based (per *3)[1]	7%	15% of net increase
International Graduate Thesis (continuing students admitted prior to Fall 2020)	7% increase with rebate to 2.67%[3]	7.55%[2]
International Graduate Course-based (per *3, continuing students admitted prior to Fall 2020)	4%	7.55%[2]

[1] With the exception of incoming students in programs with approved exceptional tuition increases for Fall 2022. (As approved by the Board of Governors on October 15, 2021.)
[2] Existing model for International tuition financial aid.
[3] 2.67% is consistent with the rebated increase from last year and is designed to ensure consistency and predictability for students in alignment with cost drivers. This is of net tuition and expires after 4 years after first introduction.

Exclusions:
The following programs will have their tuition rates held at the Fall 2021 rate:

Undergraduate Program Exclusions to Domestic Tuition Increases:
The following programs will be excluded from the 7% tuition increase:

- Certificate in Teaching Students with Complex Communication Needs
- Certificate in Advanced Adolescent Literacy
- Certificate in Early Childhood Education

Graduate Program Exclusions to Domestic Tuition Increases:
The following programs will be excluded from the 7% tuition increase:

- Graduate Certificate in Educational Studies

- Graduate Certificate in School Leadership
- Master of Education in Educational Studies
- Master of Education in Health Science Education
- Master of Science Internetworking
- Master of Science in Multimedia Studies

Item

Action Requested	☒ Approval ☐ Recommendation
Proposed by	Provost and Vice-President (Academic) and Vice-President (University Services and Finance)
Presenter(s)	Steven Dew, Provost and Vice-President (Academic) and Todd Gilchrist, Vice-President (University Services and Finance)

Details

Responsibility	Provost and Vice-President (Academic) and Vice-President (University Services and Finance)
The Purpose of the Proposal is (*please be specific*)	To approve the tuition proposal for most domestic and international students for Fall 2022.
Executive Summary (*outline the specific item – and remember your audience*)	As a part of the provincial budget announcement in October 2019, the Government of Alberta announced that post-secondary institutions could increase domestic tuition by an average of 7% in each of the coming three years (Fall 2020, Fall 2021, Fall 2022) before increases would revert to being restricted to CPI in Fall 2023. Tuition for domestic students in Alberta had been frozen for the previous five years.

Undergraduate Tuition Calculation Examples:

Domestic Tuition Fees Examples	2021-22	2022-23	Change ($)	Change (%)
Undergraduate, Arts and Science	$6,091.20	$6,517.20	$426.00	7.00%
Undergraduate, Business (Admitted Prior 2022)	$8,012.48	$8,572.88	$560.40	7.00%
Undergraduate, Engineering (Admitted Prior 2022)	$7,309.44	$7,820.64	$511.20	7.00%

International Tuition Fees Examples *(Admitted prior to 2020)*	2021-22	2022-23	Change ($)	Change (%)
Undergraduate, Arts and Science	$24,081.60	$25,044.00	$962.40	4.00%
Undergraduate, Business	$31,678.40	$32,944.48	$1,266.08	4.00%
Undergraduate, Engineering	$28,897.92	$30,052.80	$1,154.88	4.00%

Graduate Tuition Calculation Examples:

Domestic Tuition Fees Examples	2021-22	2022-23	Change ($)	Change (%)
Graduate Thesis (entry before 2020) (7% increase with a rebate to 2.67%)	$3,860.28	$3,963.24	$102.96	2.67%
Graduate Thesis (2021 entry)	$4,192.80	$4,486.20	$293.40	7.00%
Grad Course Based (per *3 course)	$714.48	$764.40	$49.92	7.00%

International Tuition Fees Examples *(Admitted prior to 2020)*	2021-22	2022-23	Change ($)	Change (%)
Graduate Thesis (entry before 2020) (7% increase with a rebate to 2.67%)	$8,217.60	$8,436.96	$219.36	2.67%
Grad Course Based (per *3 course)	$1,562.88	$1,625.28	$62.40	4.00%

Exclusions: Each of the programs listed in the motion as exclusions was formerly a cost recovery program. That status meant the programs sat outside the formal tuition regulation and were required to cover all of their costs and could not draw off the Campus Alberta Grant. Tuition rates at that time were set to reflect this reality. With the introduction of the new Alberta Tuition Framework in 2020 these programs no longer met the requirements for cost recovery. Their tuition is now subject to regulation. and fell under regulated tuition. Given this context the current tuition rates are sufficient and will not be increased.

Note that the tuition for international students incoming in Fall 2022 was already approved in June 2021. The tuition proposal for international students incoming in Fall 2023 will come forward in the coming months.

Note that the Board of Governors has approved exceptional tuition increases for new students entering the following programs in Fall 2022. Incoming students in these programs are not subject to the increase proposed above. The Minister has approved these exceptional tuition increases.

Undergraduate

- Bachelor of Commerce
- Bachelor of Science in Engineering
- Juris Doctor
- Bachelor of Science in Radiation Therapy
- Bachelor of Science in Medical Laboratory Science
- Doctor of Dental Surgery and Doctor of Dental Surgery (Advanced Placement)

	Doctor of Pharmacy Graduate Master of Business Administration Master of Engineering Master of Education - Counselling Psychology (course and thesis -based) Attachment 1 provides a comparison of tuition rates amongst the University of Alberta's peer institutions. The University has committed to supporting a diverse student body and fostering continued participation by students, irrespective of socioeconomic status. For the 2022/2023 academic year, the University will continue to redirect a portion of new tuition revenue from domestic tuition increases (15%) to fund need-based financial supports. The existing model for financial aid for international students (a set aside of 7.55% of all tuition revenue) will continue.
Supplementary Notes and context	

Engagement and Routing (Include meeting dates)

Consultation and Stakeholder Participation (parties who have seen the proposal and in what capacity) <For information on the protocol see the Governance Resources section Student Participation Protocol>	*Those who are actively **participating**:* ● Provost and Vice-President (Academic) ● Vice-President (University Services and Finance) ● Office of the Registrar ● Faculty of Graduate Studies and Research ● University of Alberta International ● Office of Resource Planning
	*Those who have been **consulted**:* ● Tuition Budget Advisory Committee (October 27, 2021; November 24, 2021; January 14, 2022) ● Deans' Council
Approval Route (Governance) (including meeting dates)	GFC Academic Planning Committee – March 9, 2022 (recommendation) Board Finance and Property Committee (recommendation) – March 10, 2022 Board of Governors (approval) – March 25, 2022

Strategic Alignment

Alignment with *For the Public Good*	Sustain our people, our work, and the environment by attracting and stewarding the resources we need to deliver excellence to the benefit of all Albertans. OBJECTIVE 22: Secure and steward financial resources to sustain, enhance, promote, and facilitate the university's core mission and strategic goals. Strategy: Seek and secure resources needed to achieve and support our strategic goals. Strategy: Ensure a sustainable budget model to preserve and enhance our core mission and reputation for excellence in teaching, learning, research, and community engagement.

Alignment with Institutional Risk Indicator	Please note below the specific institutional risk(s) this proposal is addressing.	
	☐ Enrolment Management ☐ Faculty and Staff ☒ Funding and Resource Management ☐ IT Services, Software and Hardware ☐ Leadership and Change ☐ Physical Infrastructure	☐ Relationship with Stakeholders ☐ Reputation ☐ Research Enterprise ☐ Safety ☐ Student Success
Legislative Compliance and jurisdiction	Post-Secondary Learning Act APC Terms of Reference BFPC Terms of Reference 2h and 3g	

Attachments:

1. U15 International and Domestic Tuition Comparators, 2021-2022 (2 pages)

Prepared by: Kathleen Brough, Chief of Staff, Office of the Provost and Vice-President (Academic)

U15 International and Domestic Tuition and Fees, 2021-22

As shown in Table 1, U of A's international undergraduate tuition is $29,500 (or $30,328 when MNIFs are considered) for the Fall 2021 intake, although the rate is still slightly lower than the U15 average.

U of A's international tuition for the M.A. program is higher than only three instituitions, namely Calgary, Manitoba, and Saskatchewan.
When MNIFs are included, U of A's international tuition & fee for the M.A. program is higher than UBC and the three institututions noted above.
Overall, the U of A's international tuition (and fees) at the M.A. level is considerably lower than the U15 average, whereas at the PhD level, the gap is smaller.

Table 1. International Tuition for BA, MA, & PhD, 2021-2022

	International								
2021-22 Tuition	**Arts & Social Science Undergraduate**			**MA**			**PhD**		
	Tuition	*MNIFs retained by Institution*	*Total*	*Tuition*	*MNIFs retained by Institution*	*Total*	*Tuition*	*MNIFs retained by Institution*	*Total*
University of Alberta	**$ 29,500**	**$ 828**	**$ 30,328**	**$ 8,700**	**$ 1,021**	**$ 9,721**	**$ 8,700**	**$ 1,021**	**$ 9,721**
Dalhousie University	$ 23,286	$ 1,451	$ 24,737	$ 16,014	$ 1,716	$ 17,730	$ 6,519	$ 1,716	$ 8,235
McMaster University	$ 37,237	$ 687	$ 37,923	$ 17,096	$ 271	$ 17,368	$ 6,307	$ 271	$ 6,579
Queen's University	$ 50,926	$ 568	$ 51,494	$ 12,927	$ 377	$ 13,304	$ 12,927	$ 377	$ 13,304
University of British Columbia	$ 41,156	$ 275	$ 41,431	$ 9,131	$ 235	$ 9,367	$ 9,131	$ 235	$ 9,367
University of Calgary	$ 22,189	$ 719	$ 22,908	$ 8,081	$ 521	$ 8,602	$ 8,081	$ 521	$ 8,602
University of Manitoba	$ 16,620	$ 544	$ 17,164	$ 7,133	$ 650	$ 7,783	$ 3,808	$ 650	$ 4,458
University of Ottawa	$ 36,161	$ 325	$ 36,486	$ 25,472	$ 304	$ 25,776	$ 6,367	$ 304	$ 6,671
University of Saskatchewan	$ 20,130	$ 283	$ 20,413	$ 8,096	$ 338	$ 8,435	$ 8,096	$ 338	$ 8,435
University of Toronto	$ 58,160	$ 1,033	$ 59,193	$ 26,210	$ 1,033	$ 27,243	$ 6,210	$ 1,033	$ 7,243
University of Waterloo	$ 42,520	$ 469	$ 42,989	$ 22,416	$ 598	$ 23,014	$ 22,188	$ 598	$ 22,786
Western University	$ 36,208	$ 513	$ 36,721	$ 18,984	$ 541	$ 19,525	$ 6,360	$ 541	$ 6,901
McGill University	$ 26,500	$ 1,360	$ 27,860	$ 18,662	$ 1,281	$ 19,943	$ 16,751	$ 1,281	$ 18,032
Universite de Montreal	$ 24,608	$ 1,104	$ 25,712	$ 27,993	$ 1,661	$ 29,654	$ 25,126	$ 1,660	$ 26,786
Universite Laval	$ 19,916	$ 718	$ 20,634	$ 15,933	$ 718	$ 16,651	$ 20,101	$ 874	$ 20,975
AVERAGE (Excluding U of A)	**$ 32,544**	**$ 718**	**$ 33,262**	**$ 16,725**	**$ 732**	**$ 17,457**	**$ 11,284**	**$ 743**	**$ 12,027**

Sources:
U15 2021-2022 Tuition & Fees results
Institutions' tuition & fees websites

As shown in Table 2, domestic undergraduate tuition at the U of A is the sixth lowest in the country, approximately 9% lower than the U15 average.
When MNIFs are included, the U of A becomes the seventh lowest in the country, about 6% lower than the U15 average.
Domestic graduate tuition is substantially lower than the U15 average. Approximately 37% below the U15 average at the masters level (or 28% when MNIFs are included) and 18% below the U15 average at the PhD level (or 9% when MNIFs are included).

Table 2. Domestic Tuition for BA, MA, & PhD, 2021-2022

	Domestic								
2021-22 Tuition	**Arts & Social Science**			**MA**			**PhD**		
	Tuition	*MNIFs retained by Institution*	*Total*	*Tuition*	*MNIFs retained by Institution*	*Total*	*Tuition*	*MNIFs retained by Institution*	*Total*
University of Alberta	**$ 6,091**	**$ 828**	**$ 6,919**	**$ 4,193**	**$ 1,021**	**$ 5,214**	**$ 4,193**	**$ 1,021**	**$ 5,214**

Dalhousie University	$ 8,346	$ 710	$ 9,056	$ 8,835	$ 975	$ 9,810	$ 6,519	$ 975	$ 7,494
McMaster University	$ 6,224	$ 687	$ 6,910	$ 6,307	$ 271	$ 6,579	$ 6,307	$ 271	$ 6,579
Queen's University	$ 6,083	$ 568	$ 6,651	$ 5,773	$ 377	$ 6,150	$ 5,773	$ 377	$ 6,150
University of British Columbia	$ 5,617	$ 275	$ 5,892	$ 5,198	$ 235	$ 5,433	$ 5,198	$ 235	$ 5,433
University of Calgary	$ 6,166	$ 719	$ 6,885	$ 3,464	$ 521	$ 3,985	$ 3,464	$ 521	$ 3,985
University of Manitoba	$ 4,352	$ 544	$ 4,895	$ 3,808	$ 650	$ 4,458	$ 3,808	$ 650	$ 4,458
University of Ottawa	$ 6,088	$ 325	$ 6,413	$ 7,370	$ 304	$ 7,675	$ 6,367	$ 304	$ 6,671
University of Saskatchewan	$ 6,710	$ 283	$ 6,993	$ 4,473	$ 338	$ 4,811	$ 4,473	$ 338	$ 4,811
University of Toronto	$ 6,100	$ 1,033	$ 7,133	$ 6,210	$ 1,033	$ 7,243	$ 6,210	$ 1,033	$ 7,243
University of Waterloo	$ 6,128	$ 469	$ 6,597	$ 6,762	$ 598	$ 7,360	$ 6,762	$ 598	$ 7,360
Western University	$ 6,050	$ 513	$ 6,563	$ 6,360	$ 541	$ 6,901	$ 6,360	$ 541	$ 6,901
McGill University	$ 8,506	$ 1,360	$ 9,866	$ 8,506	$ 1,281	$ 9,787	$ 2,725	$ 1,281	$ 4,006
Universite de Montreal	$ 8,506	$ 1,104	$ 9,610	$ 12,758	$ 1,661	$ 14,419	$ 4,088	$ 1,660	$ 5,748
Universite Laval	$ 8,506	$ 718	$ 9,224	$ 6,804	$ 718	$ 7,523	$ 3,270	$ 874	$ 4,145
AVERAGE (Excluding U of A)	**$ 6,670**	**$ 665**	**$ 7,335**	**$ 6,616**	**$ 679**	**$ 7,295**	**$ 5,095**	**$ 690**	**$ 5,785**

Sources:
U15 2021-2022 Tuition & Fees results
Institutions' tuition & fees websites

NOTES:

McGill University, Laval University, and U de Montreal domestic tuition, and McMaster University domestic undergraduate tuition, is for out-of-province students.

Undergraduate data are for an Arts & Social Science program, except for U of British Columbia, which is from an Arts program. Data for UBC's Arts & Social Science program are unavailable in the U15 report.

U of Saskatchewan & U of Calgary Arts & Social Science International Tuition was taken from the university wesbite.

U of Manitoba tuition amounts are obtained from the U15 report, because of differing values on the university website.

Graduate tuition is for the first year of an MA/PhD program. Laval University (Masters only), McGill University, and U of Toronto are for two semesters. All other institutions and programs are for three semesters.

Dalhousie University, McMaster University, U of Manitoba, U of Ottawa, U of Toronto, and Western University do not have an international tuition differential for the PhD program.

Dalhousie University PhD tuition is $6,519 for the majority of programs, but a PhD in Arts and Social Science is $4,395.

U de Montreal has changed reporting for graduate programs (both domestic and international) from 24 credits to 3 terms, which is considered 45 credits.

The MNIFs for all institutions were obtained from the U15 report. Validation against institution websites were conducted on a best-attempt basis, as fees between institutions are not always consistent or the websites are not clear on which fees are included.

U of Ottawa's and Dalhousie University's MNIFs numbers have been adjusted to reflect two terms (undergraduate) or three terms (graduate), as in the U15 report they only reported for one term.

MNIFs generally include Athletics, College/Faculty Activity Fees, General Student Service Fee, Health Service, and Other Fees.

The University of Alberta's calculations for "MNIFs retained by Institution" are based on two (undergraduate) or three (graduate) terms of study.

Laval University has a declining graduate tuition structure, which charges continuing fees after the first 2 sessions, for both domestic and international MA and PhD students.

McGill University has a declining graduate tuition structure, which offers a different rate for additional sessions, for both domestic and international MA and PhD students.

U of Manitoba has a declining graduate tuition structure, which charges 1 term of graduate tuition then continuing fees, for both domestic and international MA and PhD students.

U de Montreal has a declining graduate tuition structure, which offers a different rate during the thesis portion of the graduate program, for both domestic and international MA and PhD students.

Dalhousie University has declining tuition at the MA level, after the first three semesters, for both international and domestic students.

At UBC, domestic graduate students are only placed on the declining tuition schedule if they have not finished their programs within a defined period of time.

U of Ottawa offers an International Differential Exemption for those MA students enrolled in a French or French-immersion program, which amounts to approximately $15,000 for three terms.

Item No. 4b

Governance Executive Summary
Action Item

Agenda Title	**University of Alberta 2022-2023 Consolidated Budget**

Motion 1

THAT the Board of Governors, on the recommendation of the Board Finance and Property Committee and the General Faculties Council Academic Planning Committee, approve the 2022-23 Consolidated Budget as set forth in Attachment 1.

Item

Action Requested	☒ Approval ☐ Recommendation
Proposed by	Steve Dew, Provost and Vice-President (Academic) Todd Gilchrist, Vice-President (University Services & Finance) Andrew Sharman, Vice-President (Facilities & Operations)
Presenter(s)	Steve Dew, Provost and Vice-President (Academic) Todd Gilchrist, Vice-President (University Services & Finance) Andrew Sharman, Vice-President (Facilities & Operations)

Details

Office of Administrative Responsibility	Office of the Provost and Vice-President (Academic) Office of the Vice-President (University Services & Finance) Office of the Andrew Sharman, Vice-President (Facilities & Operations)
The Purpose of the Proposal is (*please be specific*)	To propose the University of Alberta 2022-23 Budget for approval by the Board of Governors.
Executive Summary (*outline the specific item – and remember your audience*)	The University of Alberta 2022-23 Budget document (Attachment 1) provides a comprehensive overview of the university's budget, inclusive of all its component parts. The supporting slidedeck (Attachment 2) provides an overview of the budget components and includes supporting documentation as presented during the February 4, 2022 Budget Briefing. On February 24, 2022, the provincial budget was announced. This announcement represented the last year of three years worth of funding cuts to the post-secondary budget. For the University of Alberta, this was an additional $52 million (10.7%) operating grant reduction. This was slightly less than the anticipated 11% reduction and represented an additional $1.7M in funding than had been expected for the grant. This final year of cuts had been anticipated, and the fiscal year 2022-23 consolidated budget is prepared based on this assumption. Through fundamental transformation, our goals continue to be to meet the financial challenge, reduce administrative spending, achieve financial sustainability, position the university for future growth, and become an even stronger driver of economic growth, social change, innovation, and creativity in the province and beyond. The capital budget represents projects to be funded in fiscal year 2022-23. The projects are fully aligned with the principles within the Integrated Asset

	Management Strategy in that the focus is almost exclusively on space optimization and asset renewal.
Supplementary Notes and context	

Engagement and Routing (Include meeting dates)

Consultation and Stakeholder Participation (parties who have seen the proposal and in what capacity)	*Those who are actively **participating**:* ● President's Executive Committee ● Resource Planning
	*Those who have been **consulted**:* ● College and Faculty Deans ● Academic Planning Committee
	*Those who have been **informed**:* ●
Approval Route (Governance) (including meeting dates)	● Academic Planning Committee: Recommendation of the FY 2022-23 Budget to the Board (March 9, 2022) ● Board Finance and Property Committee: Recommendation of the FY 2022-23 Budget and Capital Plan to the Board (March 10, 2022) ● Board of Governors: Approval (March 25, 2022)

Strategic Alignment

Alignment with *For the Public Good*	Sustain our people, our work, and the environment by attracting and stewarding the resources we need to deliver excellence to the benefit of all. OBJECTIVE: Secure and steward financial resources to sustain, enhance, promote, and facilitate the university's core mission and strategic goals. i. Strategy: Seek and secure resources needed to achieve and support our strategic goals. ii. Strategy: Ensure a sustainable budget model to preserve and enhance our core mission and reputation for excellence in teaching, learning, research, and community engagement.	
Alignment with Core Risk Area	Please note below the specific institutional risk(s) this proposal is addressing.	
	☒ Enrolment Management ☐ Faculty and Staff ☒ Funding and Resource Management ☐ IT Services, Software and Hardware ☐ Leadership and Change ☒ Physical Infrastructure	☐ Relationship with Stakeholders ☐ Reputation ☐ Research Enterprise ☐ Safety ☐ Student Success
Legislative Compliance and jurisdiction	BFPC Terms of Reference Sections 2c and 3e	

Attachments

1. University of Alberta Budget 2022-23 (25 pages)
2. Consolidated Budget Fiscal Year 2022-23 (slidedeck) (46 pages)

Prepared by:
Martin Coutts, Associate Vice-President (Finance, Procurement, and Planning)
Gordon Weighell, Chief of Staff (Facilities & Operations)

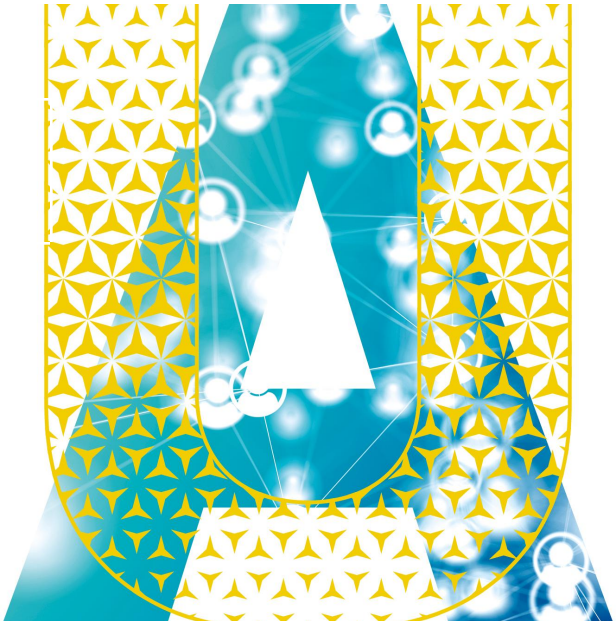
UNIVERSITY OF ALBERTA

University of Alberta Budget 2022-23

March 2022

Prepared by:
Resource Planning
Finance, Procurement and Planning

Date:
March 9, 2022



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1 Introduction

The University of Alberta's 2022-2023 budget has been developed during a time of continued challenge and uncertainty. While in the first year of the global pandemic, the university community moved primarily online–teaching, learning, and working remotely–the second year demanded more flexibility. In-person learning increased to 80% in September 2021 and then returned to remote learning for the first two months of 2022, before returning to a near full resumption of in-person activity.

At the same time, the U of A continued to address and manage significant reductions in provincial grant funding. In February 2020, the Government of Alberta announced major cuts to the post-secondary sector over the following three years. For the U of A, this has represented to date a $170M reduction in the operating budget. On February 24, 2022, the last of the three years of cuts was announced, with an additional 10.7% reduction or $52 million for the U of A. This 10.7% reduction, combined with cuts in the prior three fiscal years, totals a $222M reduction in our provincial funding. This final year of cuts was anticipated and the U of A 2022-2023 budget is prepared based on this assumption. As mandated by the Government of Alberta, the university is not permitted to post a deficit, even while managing the cuts as well as ongoing impacts associated with COVID-19.

To address our serious financial challenges, the university launched a major transformation initiative in June 2020 called University of Alberta for Tomorrow (UAT). Through fundamental transformation, our goals continue to be to meet the financial challenge, reduce administrative spending, achieve financial sustainability, position the university for future growth, and become an even stronger driver of economic growth, social change, innovation, and creativity in the province and beyond.

While we still have more work to do, significant progress has been made over the past two years. We are not only meeting the financial challenge and balancing our budget, but also making operations more efficient and reducing administrative costs. Other peer universities that have made similar gains have generally been engaged in administrative restructuring, cost reduction and revenue growth for well over 10 years.

Our long-term goal is sustainability. This budget will mark a turning point for the University of Alberta. In 2022-23, the implementation of the university's new operating model will be completed, preserving the gains made in reducing administrative costs. With a long term continuous improvement plan in place, we will ensure that the greatest possible percentage of our resources advance our core mission of teaching, research and community engagement.

2 Consolidated Budget

The consolidated budget for the upcoming year, as well as projections for the following two years, are presented below and include all university activities.

Table 1: Consolidated Budget (2022-23, 2023-24, 2024-25)

($000's)	2020-21	2021-22		2022-23	2023-24	2024-25
	Actual	Budget	Forecast	Budget	Projection	Projection
Revenue (including deferrals)						
Government of Alberta grants	779,987	739,412	730,367	694,597	690,536	688,294
Federal and other government grants	228,655	202,366	223,522	216,784	220,452	223,135
Student tuition and fees	387,315	424,908	430,763	463,270	484,225	509,708
Sales of services and products	140,635	182,482	176,303	207,391	212,302	217,957
Donations and other grants	119,957	124,361	133,440	128,429	131,002	133,455
Investment income	103,685	91,269	120,151	101,787	103,618	106,368
Investment gain (loss) from government business enterprise	(214)	-	-	-	-	-
Gain on sale of tangible capital assets	-	-	34,911	-	-	-
Total revenue	**1,760,020**	**1,764,798**	**1,849,457**	**1,812,258**	**1,842,135**	**1,878,917**
Expense						
Salaries	891,502	873,496	883,564	880,851	890,833	900,699
Employee benefits	208,711	193,052	195,572	200,852	206,229	211,483
Materials, supplies and services	215,026	239,468	255,461	259,492	251,670	258,946
Scholarships and bursaries	138,443	142,179	150,843	158,191	161,982	165,560
Maintenance and repairs	66,264	103,194	78,426	93,023	82,632	75,170
Utilities	46,698	50,383	54,536	59,466	58,718	58,941
Amortization of tangible capital assets	157,883	159,873	160,162	160,030	172,737	181,992
Total expense	**1,724,527**	**1,761,645**	**1,778,564**	**1,811,905**	**1,824,801**	**1,852,791**
Annual operating surplus (deficit)	**35,493**	**3,153**	**70,893**	**353**	**17,334**	**26,126**

The Government requires that the university has a balanced budget on a consolidated basis for all fiscal years. This requirement is found in legislation. (Post-Secondary Learning Act, Subsection 78(6): "The board of a public post-secondary institution shall not submit a budget in which consolidated operating expense exceeds consolidated operating revenue unless the board has the written approval of the Minister to do so.")

The university is forecasting a surplus of $71M for the year ending 2021-22 driven by the following one-time significant factors: the gains on sale of Newton Place and the Husfloen Centre [1] ($35M), and the reversal of the endowment encroachment[2] that occurred in 2019-20 ($29M).

[1]As Newton Place and Husfloen Centre were ancillary assets, the revenues gained from the sale of these facilities are being applied to the ancillary budget.
[2]In fiscal 2020, the investments held by the university realized a loss. As a result, there were not sufficient investment earnings to cover the endowment budgeted spending allocations and spending allocations were funded from operating revenues, which led to an operating deficit in that year. In fiscal 2022 to date, sufficient investment income has been realized to recover the majority of the encroachment which in this year has resulted in an increase in restricted revenue ($29M) without any offsetting expenses.

These two factors resulted in a one-time increase in revenues, without corresponding expenses. The remaining forecasted surplus of $7M is just 0.4% of consolidated revenues and is in line with the approved budget for the year.

Public Sector Accounting Standards (PSAS) require a budgeted Statement of Change in Net Financial Assets and a consolidated budget with expenses by function (the above representation is by object). Additionally, the government requires a consolidated Statement of Cash Flows. All of these statements are derived from the figures included in the consolidated budget. All these statements will appear as comparatives in the institution's annual audited financial statements. Please refer to Appendix A for this information.

The consolidated budget for the institution includes the Operating, Ancillary, Research, Capital and Special Purpose funds.

- **Operating** relates to funds within the university's budget that represent the general operations of the institution. The revenue sources support the core teaching activities and the indirect costs of research. The university's budget process focuses on the allocation of these funds.
- **Ancillary** relates to cost recovery operations within the University of Alberta. These units are expected to be stand-alone enterprises funded by their own revenues. Major operations include residence and hospitality services, parking services and utilities.
- **Research** includes the annual spending allocation for research-related endowments and other research funding used in the direct pursuit of research endeavors. These are generally subject to restrictions and can only be used for the purposes for which the funds were provided.
- **Capital** includes both restricted and unrestricted funding used for major capital projects and large deferred maintenance projects.
- **Special Purpose** relates primarily to the Academic Medicine and Health Services Program (AMHSP), and the annual spending allocation for undergraduate student awards and non-research-related endowment funds held by the university. The AMHSP encompasses various specializations including medicine, pediatrics, family medicine and psychiatry.

The following is the 2022-23 consolidated budget segregated into the various funds identified above.

Table 2: Consolidated Budget by Fund (2022-23)

($000's)	Operating	Ancillary Operations	Research	Capital	Special Purpose	Total
Revenue (including deferrals)						
Government of Alberta grants	456,463	-	67,723	91,431	78,980	**694,597**
Federal and other government grants	22,799	-	174,075	19,910	-	**216,784**
Student tuition and fees	462,705	565	-	-	-	**463,270**
Sales of services and products	84,942	104,157	18,169	-	123	**207,391**
Donations and other grants	6,250	-	98,347	19,770	4,062	**128,429**
Investment income	20,000	10	55,908	700	25,169	**101,787**
Investment gain (loss) from government business enterprise	-	-	-	-	-	**-**
Gain on sale of tangible capital assets	-	-	-	-	-	**-**
Total revenue	**1,053,159**	**104,732**	**414,222**	**131,811**	**108,334**	**1,812,258**
Expense						
Salaries	638,641	20,979	164,328	-	56,903	**880,851**
Employee benefits	152,901	5,331	28,447	-	14,173	**200,852**
Materials, supplies and services	71,707	32,169	125,245	16,561	13,810	**259,492**
Scholarships and bursaries	52,513	-	86,673	-	19,005	**158,191**
Maintenance and repairs	25,370	20,009	1,757	45,739	148	**93,023**
Utilities	54,829	3,863	774	-	-	**59,466**
Amortization of tangible capital assets	55,328	12,061	-	92,641	-	**160,030**
Total expense	**1,051,289**	**94,412**	**407,224**	**154,941**	**104,039**	**1,811,905**
Annual operating surplus (deficit)	**1,870**	**10,320**	**6,998**	**(23,130)**	**4,295**	**353**

An overview for each individual fund follows, including the key assumptions used in the development of the budget and the projections for the following two years.

2.1 Operating Budget

The Government of Alberta released the 2022 provincial budget on February 24, 2022. The University of Alberta's provincial grant (operating) was decreased by a further 10.7 %, or $52 million in 2022-2023. This 10.7% reduction, combined with cuts in 2019-20 and 2020-21, totals a $222M reduction in our provincial funding (operating) over the last three and a half years. These cuts come with the caveat that the institution handles them in-year a and it is not permitted to post a deficit.

During the current fiscal year, the campus was still affected by the ongoing impacts of COVID 19 and was subject to different levels of closure during the year. Although the majority of course

delivery occurred online over the past two fiscal years, staffing costs as well as building costs remained relatively stable. Costs associated with digital course delivery increased as a result of the new learning structure. The expectation is that by the beginning of the 2022-2023 fiscal year, normal operations will resume as the lifting of health restrictions permit.

In order to address the continued and expected cuts, the University of Alberta for Tomorrow (UAT) initiative continued in earnest during the 2021-22 fiscal year, addressing the cuts through four major areas:

- Administrative savings (SET) through the development of a more centralized model using service partners, centers of expertise and shared services centers
- Non-labour reductions through a significant reduction in procurement costs and volumes
- Centralization of IT and Marketing/Communication services
- The establishment of the Colleges

The university continues to implement a proactive approach to managing budget reductions. Rather than reacting to cuts in a distributed way after they have occurred, through UAT and SET, the institution is taking action now to address anticipated reductions in the year ahead and through pan-institutional actions. The approach next year will be similar; 2022-23 budget planning reflects the reduced operating grant going forward.

While the overall impacts of the cuts to the institution involve a number of one-time factors, the most significant ongoing impacts are the following:

- The $52 million reduction to the Campus Alberta Grant (section 2.1.1.1)
- This is offset by the overall increase in tuition budget by approximately $38 million in comparison to the 2021-22 fiscal year
- An increase in the expected investment income by $5 million
- An increase in utilities costs of $10 million

2.1.1 Operating Revenues

2.1.1.1 Government of Alberta Grants

As noted in the introduction, the institution received an 10.7% grant cut in 2022-23 which amounts to $52 million.

In its Budget 2022, the Government of Alberta announced that it will invest $171 million over three years to increase enrolment in high demand programs as part of the Alberta at Work initiative. The mechanism for disbursement of the funds and timing has not yet been announced, and while the university is well-positioned to attract a portion of the funding during the 2022/23 fiscal year, this new source of funding has not been reflected in current budget figures.

2.1.1.2 Federal and Other Government Grants

The largest component of this category relates to the Federal Research Support Fund provided to the institution in order to support research grants provided by the Tri-Council agencies. The amount budgeted for the 2022-23 fiscal year is consistent with the amount forecast for 2021-22 of $21 million.

2.1.1.3 Student Tuition and Fees

The budget incorporates a year-over-year increase in enrollment driven primarily through strong domestic student demand. Undergraduate enrollment for 2022-23 is projected to be 27,777 domestic FLE and 4,963 international FLE. This is projected to be the highest enrollment ever experienced at the University of Alberta.

Further details on the tuition increases are presented below for both undergraduate and graduate students for the 2022-23 fiscal year.

Undergraduate

Tuition for both incoming and continuing domestic students reflects a 7% increase with an offset of 15% of the increase to be dedicated to student financial support. Beginning with the 2023-24 academic year, the tuition rate increase for domestic students is expected to equal projected Alberta CPI.

New undergraduate international students will continue to be provided a fixed program fee averaged over the nominal duration of their programs. This tuition methodology is consistent with the government's 2018 Tuition and Fees Regulation, which requires the university to provide international students with greater certainty in the cost of their education at time of admission. These rates increased by 2% over last year's and are projected to increase for the outlying years by an amount commensurate with the university's expected inflationary cost increases. Existing undergraduate international students prior to Fall 2020 are excluded from the program-based tuition model. For these students, the tuition increase is 4% for all years shown.

The current financial support set aside for both incoming and continuing international students will remain at 7.55% of total international student tuition. This model has been in place since the inception of international tuition differentials at the institution.

Graduate

Tuition for incoming domestic graduate students reflects a 7% increase with an offset of 15% of the increase to be dedicated to student financial support. Beginning with the 2023-24 academic year, the rate increase is expected to equal projected Alberta CPI.

Tuition for thesis-based students admitted prior to Fall 2020 includes a rebate to reduce the overall increase to 2.67% (representing the overall increase in university specific cost drivers). This rebate will be in place for four years starting Fall 2020.

Tuition for continuing international graduate students admitted prior to Fall 2020 reflects a 4% increase for all three fiscal years. Thesis-based students in this group also receive the rebate described above to reduce the increase to 2.67%.

Effective Fall 2020, new international graduate students were provided a fixed program fee averaged over the nominal duration of their programs. This tuition methodology was developed in response to the government's 2018 Tuition and Fees Regulation, which requires the university to provide international students with greater certainty in the cost of their education at time of admission. These rates increased by 2% over last year's and are projected to increase for the outlying years by an amount commensurate with the university's expected inflationary cost increases.

The current financial support offset for both incoming and continuing international students will remain at the current level of 7.55% of international student tuition. This model has been in place since the inception of international tuition differentials at the institution.

Exceptional Tuition Increases

The 2022/23 Budget also takes into consideration Exceptional Tuition Increases (ETI). On October 15, 2021, the Board of Governors approved a recommendation for Exceptional Tuition Increases (ETI's) for implementation in 2022-23. These increases would affect 12 programs and are applicable to domestic tuition only. The programs include:

Undergraduate

Business	Engineering	Law
Medicine - BSc Radiation Therapy	Medicine - BSc Med Lab Sciences	Pharmacy
Medicine - DDS	Medicine - AP DDS	

Graduate

Business	Education - Master Counseling Psychology Course
Engineering	Education - Master Counseling Psychology Thesis

The increases would apply to students admitted in Fall 2022 and beyond. Approved ETI's are meant to improve the quality of the affected programs in order to equip their graduates with essential knowledge and skills that they can use to contribute to Alberta.

Mandatory Non-Instructional Fees

The following increases to be implemented for 2022-23 will be in place for mandatory non-instructional fees:

- An increase of 1.38% to the Student Health and Wellness fee, Student Academic Support fee and the Athletics and Recreation fee.

2.1.1.4 Investment Income

The investment income projections in each of the following three years have been set at $20 million in 2022-23 - 2024-25. The increase in the upcoming fiscal year is only intended to be temporary as the university continues to review its reliance on investment income to fund ongoing expenditures on an annual basis.

2.1.1.5 All Other Sources of Revenues

Most of the revenue-generating units are projecting revenues far below Alberta's projected CPI (high inflation). Consideration for the gradual re-opening of campus throughout the fiscal year is taken into account for this budget which results in increased sales activity as compared to the prior fiscal year. It should be noted that these revenues have been negatively impacted by the campus closure and are expected to return to normal in 2022-23.

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2.1.2 Operating Expenditures

Operating expenditures are developed with the consideration of the cuts to be implemented through UAT along with the assumption of a gradual re-opening of the campus. The expectation is that the current largely remote work and learning environment will have ended by the beginning of the fiscal year 2022-23 which would result in an increase in operating expenses.

2.1.2.1 Compensation

Overall salaries are expected to change year over year reflecting two significant factors:

- Merit pay is expected to increase salaries for existing staff.
- This is more than offset by the impact of staffing reductions required to manage the grant reductions.

Benefit costs are expected to decrease by 0.3% from the prior year due to reduced pension plan contributions, and there would be an additional impact from reduced staffing levels.

As a result of budgetary cuts, we are projecting approximately 100 job losses by the end of the 2021-22 fiscal year (this is in addition to the approximately 800 jobs lost in the prior two years).

2.1.3 Overall Budget Planning Assumptions

The above discussion provides insights into the assumptions and planning parameters used to develop the operating budget for the 2022-2023 fiscal year. The table below provides a summary of these, along with the similar figures used for the following two years.

Table 3. Assumptions and Planning Parameters

Revenue	**2022-23**	**2023-24**	**2024-25**
Operating Grant	-10.7%	0.0%	0.0%
Domestic Tuition	7%	2%	2%
Financial aid (holdback of increased domestic tuition dollars)	15%	15%	15%
International Tuition (Existing students)	4%	4%	4%
International Tuition (Program-based)	2%	2%	2%
Financial aid (holdback of international total tuition to be used for student support)	7.55%	7.55%	7.55%
Mandatory Non-Instructional Fees	1.38%	2%	2%
Investment Income	$20 million	$20 million	$20 million

Expenditures	**2022-23**	**2023-24**	**2024-25**
ATB (NASA & AASUA)	TBN	TBN	TBN
Merit (NASA, based on one-step merit) *	0.8%	0.8%	0.8%
Merit (AASUA, based on one-step merit)*	1.8%	1.8%	1.8%
Employee Benefits *	-0.3%	3.2%	2.4%
Other Costs**	2.6%	2.1%	2.0%

* Average per employee across all groups

** Non-salary costs such as materials, supplies, etc.

TBN: To be negotiated

Other key considerations in developing the institutional budget are the underlying sensitivities concerning major revenue sources and expenditure types. The following represent the key sensitivities.

Table 4. Key Budget Sensitivities

Sensitivity of a 1% Change in 2022-23	Amount ($ millions)
Operating Grant	$4.9
Undergraduate enrolment	$3.0
Domestic Tuition Rates	$2.1
International Tuition Rates	$0.5
Mandatory Non-Instructional Fees	$0.3
Investment Income	$0.9
AASUA Salaries	$3.8
NASA Salaries	$1.9
Excluded Salaries	$0.5
Benefits	$1.5
Utilities	$1.6

Table 5 provides an overall outline of the following in relation to the operating budget:

- Actual results for the years ending March 31, 2020 and March 31, 2021
- Budget and forecast for the year ending March 31, 2022
- Budget for the year ending March 31, 2023
- Projections for the years ending March 31, 2024 and March 31, 2025

Table 5. Operating Budget

($000's)	2020-21	2021-22		2022-23	2023-24	2024-25
	Actual	Budget	Forecast	Budget	Projection	Projection
Revenue (including deferrals)						
Government of Alberta grants	569,645	508,235	508,258	456,463	456,463	456,463
Federal and other government grants	21,955	22,008	22,221	22,799	23,278	23,743
Student tuition and fees	387,315	424,354	430,533	462,705	483,649	509,117
Sales of services and products	75,883	89,700	80,557	84,942	86,726	88,460
Donations and other grants	6,785	8,262	5,890	6,250	6,381	6,509
Investment income	37,333	15,000	25,000	20,000	20,000	20,000
Investment gain (loss) from government business enterprise	(214)	-	-	-	-	-
Gain on sale of tangible capital assets	-	-	592	-	-	-
Total revenue	**1,098,702**	**1,067,559**	**1,073,051**	**1,053,159**	**1,076,497**	**1,104,292**
Expense						
Salaries	655,358	645,034	638,778	638,641	648,000	657,100
Employee benefits	163,817	145,668	148,092	152,901	158,002	162,976
Materials, supplies and services	63,440	80,352	80,540	71,707	73,219	77,464
Scholarships and bursaries	40,039	45,840	46,376	52,513	55,771	58,633
Maintenance and repairs	20,396	33,407	22,996	25,370	25,903	26,420
Utilities	41,163	46,191	49,820	54,829	53,985	54,110
Amortization of tangible capital assets	50,737	53,026	53,506	55,328	60,710	63,809
Total expense	**1,034,950**	**1,049,518**	**1,040,108**	**1,051,289**	**1,075,590**	**1,100,512**
Annual operating surplus (deficit)	**63,752**	**18,041**	**32,943**	**1,870**	**907**	**3,780**

2.2 Ancillary Enterprises

It is common for an institution as large and expansive as the University of Alberta to own and operate a number of ancillary enterprises operating as stand-alone units funded by self-generated revenues. At virtually every university, this would include enterprises such as parking, residences, and student and retail dining. Additionally, the U of A operates more specialized units including the Glen Sather Sports Medicine Clinic, the Technology Training Centre, the University Bookstore, a retail pharmacy, commercial property and real estate, and the District Energy System.

Each of these units is expected to generate revenue sufficient to cover operating costs as well as establish appropriate and adequate operating and capital reserves. To the extent that debt financing may be utilized for capital enhancements or to address deferred maintenance, revenues must also cover the cost of repayment together with the applicable interest. The university is evaluating the degree to which any of these enterprises (e.g. commercial real estate and parking services) may be able to make net contributions to the broader operating budget. This involves a focused review of each service as well as moving towards the provision of some administrative services as envisioned in the UAT initiative.

Because so many ancillary enterprises rely on a relatively captive audience for their customer base, COVID-19 had a considerable impact on all revenue streams. Reserves were heavily

depleted to maintain fiscal health for the past two years and, fortunately, the expected increase of the number of people on all campuses will see these operations return to a more 'normal' state in 2022/23.

The majority of food outlets across campus have reopened. With the return of staff to campus, parking permit sales increased and the reemergence of other campus activities has seen increased levels of visitor parking. Residence occupancy has returned to 81% of current occupancy capacity. This is an adjusted capacity as Lister remains entirely as single rooms given the transmissibility of the COVID-19 virus, with no double occupancy in the current fiscal year. Bookstore operations returned to more normal volumes in August 2021 with supply chain challenges impacting revenues. The Glen Sather Sports Medicine Clinic is also seeing traffic returning to pre-COVID-19 levels.

In addition to increased revenue related to increased sales volumes, rates charged for services will, (if approved) be subject to targeted increases:

- 2.25% increase to all residence rates - aligns with a commitment to return to increases more closely aligned with Alberta's consumer price index in the medium term following three years of 5% annual increases.
- 3% increase to meal plan rates.
- 2.6% increase to permitted parking rates (outside the demand parking model).

Of particular note, rate increases in the residence system reflect the fact that, for many years, efforts were made to keep student costs as low as possible, which was reflected in the rates charged to students living in residences. Unfortunately, the resulting revenues were not sufficient to cover the system's operating costs and also allow for adequate investments in maintenance and renewal activities. As a result, the university's residence system has accumulated a significant deferred maintenance liability of approximately $68.7 million. Additionally, insufficient operating and capital reserves have necessitated that new residence construction and major refurbishments be mostly debt-financed.

Despite the financial challenges present in our residence and dining operations, we continue to invest in infrastructure to ensure our residences and food service outlets meet the needs of our students, faculty, staff, and visitors. Of note, the multi-year project to fully renew the three classic towers at Lister Hall will be completed in time for students in September.

Initiatives of note in 2021-22:

- Developed metrics on room-ready performance to support resource decisions, workflow prioritization, and required inventory needs (Residence Operations).
- Situated Conference Services to become the lead for all campus online bookings by becoming subject matter experts with university software such as Groupize.

- Developed a dynamic parking pricing model on campus where the highest demand spaces have commensurate pricing (pending approval).
- Opened a space in the Saville Community Sports Centre to support alternate programs that can not be managed with the Glen Sather Sports Medicine Clinic (Kaye Clinic).
- Transitioned to a new bookstore management system.

Table 6. Ancillary Budget

($000's)	2020-21	2021-22		2022-23	2023-24	2024-25
	Actual	Budget	Forecast	Budget	Projection	Projection
Revenue (including deferrals)						
Government of Alberta grants	-	-	-	-	-	-
Federal and other government grants	-	-	-	-	-	-
Student tuition and fees	-	554	230	565	576	591
Sales of services and products	47,381	75,231	75,638	104,157	106,920	110,470
Donations and other grants	-	-	5	-	-	-
Investment income	1,524	513	830	10	10	10
Investment gain (loss) from government business enterprise	-	-	-	-	-	-
Gain on sale of tangible capital assets	-	-	32,386	-	-	-
Total revenue	**48,905**	**76,298**	**109,089**	**104,732**	**107,506**	**111,071**
Expense						
Salaries	16,690	20,232	19,506	20,979	21,037	21,132
Employee benefits	4,055	5,155	4,743	5,331	5,467	5,596
Materials, supplies and services	20,331	26,673	30,070	32,169	31,773	31,711
Scholarships and bursaries	-	-	2	-	-	-
Maintenance and repairs	15,220	18,731	17,265	20,009	20,637	20,308
Utilities	4,761	3,713	3,942	3,863	3,959	4,057
Amortization of tangible capital assets	10,691	10,773	10,582	12,061	12,876	12,884
Total expense	**71,748**	**85,277**	**86,110**	**94,412**	**95,749**	**95,688**
Annual operating surplus (deficit)	**(22,843)**	**(8,979)**	**22,979**	**10,320**	**11,757**	**15,383**

2.3 Research

Research revenues at the University of Alberta come from five major sources:

- Government of Alberta grants from a number of Ministries (Jobs, Economy and Innovation, and Alberta Innovates)
- Federal government grants including those provided by the Tri-Council Agencies
- Fee-for-service research activities for outside entities
- Donations and nongovernmental grants
- The endowment spending allocation resulting from research-related endowments

In the current year, the partial opening of campus during the year as well as the lifting of restrictions on lab occupancy had a particular impact on research activity. It led to an increased level of spending on materials, supplies and services thereby increasing the amount of restricted

research revenues recognized. It is expected that as restrictions slowly ease up over the next 12 months that research activity will continue to be higher than in previous years.

Table 7. Research Budget

($000's)	2020-21	2021-22		2022-23	2023-24	2024-25
	Actual	Budget	Forecast	Budget	Projection	Projection
Revenue (including deferrals)						
Government of Alberta grants	60,898	65,094	68,506	67,723	67,392	66,595
Federal and other government grants	187,201	162,392	183,527	174,075	176,688	178,091
Student tuition and fees	-	-	-	-	-	-
Sales of services and products	17,363	17,422	19,979	18,169	18,533	18,903
Donations and other grants	84,656	89,927	105,467	98,347	99,841	100,677
Investment income	44,526	52,852	63,704	55,908	57,171	59,067
Investment gain (loss) from government business enterprise	-	-	-	-	-	-
Gain on sale of tangible capital assets	-	-	-	-	-	-
Total revenue	**394,644**	**387,687**	**441,183**	**414,222**	**419,625**	**423,333**
Expense						
Salaries	164,921	157,706	175,183	164,328	164,328	164,328
Employee benefits	28,550	27,964	30,944	28,447	28,447	28,447
Materials, supplies and services	108,574	110,610	119,066	125,245	131,452	134,830
Scholarships and bursaries	82,154	84,480	89,465	86,673	86,673	86,673
Maintenance and repairs	1,594	2,543	1,675	1,757	1,846	1,938
Utilities	774	479	774	774	774	774
Amortization of tangible capital assets	-	-	-	-	-	-
Total expense	**386,567**	**383,782**	**417,107**	**407,224**	**413,520**	**416,990**
Annual operating surplus (deficit)	**8,077**	**3,905**	**24,076**	**6,998**	**6,105**	**6,343**

2.4 Capital Budget

2.4.1 Capital Investments

While there are capital items purchased or funded with operating and other funds (such as learning materials, IT equipment, and certain research focused and renovation projects), the capital budget also incorporates construction projects and larger scale renewal and maintenance projects and equipment.

Throughout this section, it is important to note that the capital plan and the resulting capital budget are developed as "point-in-time" items. Due to the unpredictable nature with which capital construction and maintenance activities occur (e.g. impacts due to COVID-19 or unpredictability in government grants and approvals or unexpected philanthropic gifts), capital projects may be added or changed in scope throughout the year. All material changes, regardless of when they occur, remain subject to the institution's normal governance and approval processes.

The capital budget included within the University of Alberta's consolidated budget is subject to complex financial accounting requirements. The figures throughout the capital budget have been restated for the purposes of being presented within the institution's audited financial statements.

2.4.2 Capital Budget Development

The university is required by legislation to develop an annual capital and maintenance plan and, further, identify its capital requirements in a submission to the Government of Alberta through the Building and Land Infrastructure Management System (BLIMS). Recent submissions, the latest submitted in June 2021, included a number of priorities with a particular focus on renewing and refurbishing existing buildings. The following capital budget is reflective of the information contained within both the capital plan and the BLIMS submission.

2.4.3 Capital Budget

Table 8. Capital Budget

($000's)	2020-21	2021-22		2022-23	2023-24	2024-25
	Actual	Budget	Forecast	Budget	Projection	Projection
Revenue (including deferrals)						
Government of Alberta grants	72,209	92,954	76,579	91,431	87,097	84,832
Federal and other government grants	19,499	17,966	17,774	19,910	20,486	21,301
Student tuition and fees	-	-	-	-	-	-
Sales of services and products	-	-	-	-	-	-
Donations and other grants	23,622	23,058	17,037	19,770	20,524	21,797
Investment income	873	-	873	700	700	700
Investment gain (loss) from government business enterprise	-	-	-	-	-	-
Gain on sale of tangible capital assets	-	-	1,933	-	-	-
Total revenue	**116,203**	**133,978**	**114,196**	**131,811**	**128,807**	**128,630**
Expense						
Salaries	-	-	-	-	-	-
Employee benefits	-	-	-	-	-	-
Materials, supplies and services	8,264	3,693	9,677	16,561	1,160	649
Scholarships and bursaries	-	-	-	-	-	-
Maintenance and repairs	29,002	48,413	36,440	45,739	34,096	26,351
Utilities	-	-	-	-	-	-
Amortization of tangible capital assets	96,455	96,074	96,074	92,641	99,151	105,299
Total expense	**133,721**	**148,180**	**142,191**	**154,941**	**134,407**	**132,299**
Annual operating surplus (deficit)	**(17,518)**	**(14,202)**	**(27,995)**	**(23,130)**	**(5,600)**	**(3,669)**

As part of Government of Alberta grants, the University of Alberta will receive $34.9 million for capital maintenance and renewal in 2022/23. This is lower than the 2021/22 grant amount of $48.0 million, but more than the amount initially forecast and in line with recent years allocations.

Due to the nature of Public Sector Accounting Standards that govern our audited financial statements, we have the added complexity of revenue deferrals. In essence, a large portion of the revenue in the capital fund cannot be recognized until the underlying expenses (predominantly amortization of tangible capital assets) have been incurred. In order to remove this impact, the following four tables provide a view of the capital budget for next year on a "near cash" basis.

Capital budget - Revenues

Historically, Government of Alberta grants have provided targeted funding for multi-year capital projects (e.g. University Commons renewal). Additionally, capital maintenance and renewal funds are provided to address critical maintenance needs across the institution, principally by reducing our significant deferred maintenance liability. The following table provides an outline of revenue on a cash basis.

Please note that the following table shows when the revenue will be received by the institution whereas subsequent tables outline when the funds will be either spent (tables 8 and 9) or the resulting asset is capitalized (table 10).

Table 9. Capital Budget Revenues

($000's)	2022-23 Budget	2023-24 Projection	2024-25 Projection
Provincial Government Grants			
Capital Maintenance Renewal (CMR)	34,914	31,000	34,900
Dentistry/Pharmacy Renewal	56,000	-	-
Subtotal	**90,914**	**31,000**	**34,900**
Other Projects	7,100	2,100	2,100
Total revenue	**98,014**	**33,100**	**37,000**

Capital Budget: Materials, Supplies, and Services

These are expenditures related to projects across our campuses. These costs are expensed as they do not extend the useful life of the buildings.
The following table outlines materials, supplies and services to be used within the capital fund.

Table 10. Capital Budget: Materials, Supplies, and Services

($000's)

Project	2022-23 Budget	2023-24 Projection	2024-25 Projection
UA District Energy System (DES)	3,265	512	-
Subtotal	**3,265**	**512**	**-**
Other MSS	13,296	648	649
Total materials, supplies and services	**16,561**	**1,160**	**649**

Capital Budget: Maintenance and Repairs

These are expenditures related to addressing major maintenance and renewal projects and/or deferred maintenance across campus. These costs are expensed as they do not extend the useful life of the buildings.
The following table outlines maintenance and repair projects planned within the capital fund.

Table 11. Capital Budget: Maintenance and Repairs

($000's)

Project	2022-23 Budget	2023-24 Projection	2024-25 Projection
Health Sciences Library ECHA Integration	8,800	1,584	-
Enterprise Square Consolidation	4,950	-	-
Michener Park Demo	2,283		
Subtotal	**16,033**	**1,584**	**-**
Other Maintenance	8,593	4,006	2,075
CMR* and grant-funded maintenance	21,113	28,506	24,276
Total maintenance and repairs	**45,739**	**34,096**	**26,351**

**CMR projects included in both maintenance and TCA.*

Capital Budget: Tangible Capital Acquisitions

Major renewal projects often involve both repairs and maintenance in addition to capital investments and/or overall building improvements. The following projects represent capital investments to buildings as defined by accounting standards. In this case, the expenditures do

not appear on the Statement of Operations; rather they are captured as investments in tangible capital assets on the university's Statement of Financial Position.

Table 12. Capital Budget: Tangible Capital Acquisitions

($000's)

Project	2022-23 Budget	2023-24 Projection	2024-25 Projection
Dentistry Pharmacy Renewal & Repurpose	48,971	39,732	-
Biological Sciences- Zoology Wing	8,500	7,200	180
UA District Energy System (DES)	6,228	976	-
Lister Centre Classic Towers- Kelsey Hall	5,123	-	-
CAB Renovation (East Side)	3,850	-	-
Morrison Structures Lab	3,747	-	-
Health Science Infrastructure Optimization	3,741	1,000	-
Diwan Pavilion	2,370	-	-
HUB Mall Phases 7, 8 and 9	2,000	4,750	-
Lister Centre Classic Towers- Henday Hall	1,134	-	-
Subtotal	**85,664**	**53,658**	**180**
Other Capital Projects	18,439	1,800	41,250
CMR Capital*	29,803	4,634	14,904
Total tangible capital acquisitions	**133,906**	**60,092**	**56,334**

**CMR projects included in both maintenance and TCA.*

2.4.4 Deferred Maintenance

Excellence in teaching and research is only possible with well-functioning labs, classrooms, and other building infrastructure. Unfortunately, government grants alone have been insufficient in addressing the necessary maintenance activities across our campuses, which has resulted in a substantial deferred maintenance liability. As of December 31, 2021, the deferred maintenance liability stands at $365.6 million, with a five-year projected aggregate liability of $1.055 billion.

Because the need vastly exceeds the available resources, a diligent adherence to a system of prioritizing projects is crucial. Relying on Government of Alberta parameters, priorities are as follows:

- High – life, health, and safety: Elements presenting a potential for imminent risk to the life, health, and/or safety of facility occupants and users. They include risk of failure of structural supports or major building systems and requirements under a multitude of building codes.

- Medium – immediate needs: Elements demanding attention to prevent them escalating to the highest priority, which will lead to serious or prolonged deterioration of a facility or its systems thereby affecting the operability of a facility or its systems.

- Low – general need: Elements that are non-urgent and which can be planned for over a period of time without undue risk to the facility occupants or facility operability.

Current and projected funding levels require investments in addressing deferred maintenance at the University of Alberta to be limited almost exclusively to those deemed "high" priority.

2.5 Special Purpose

One item to note is that due to the increased market value of University Endowment pool assets, investment income for fiscal year 2021/2022 reflects the reversal of a temporary encroachment recorded against the university's endowment net assets in fiscal year 2019/2020.

Our forward looking analysis indicates that there are no expected significant changes impacting these funds over the next three years aside from the expectation that spending on materials, supplies and services is expected to rebound (current year spending impacted by campus closure). Overall revenues and expenses are expected to remain relatively stable.

Table 13. Special Purpose Budget

($000's)	2020-21	2021-22		2022-23	2023-24	2024-25
	Actual	Budget	Forecast	Budget	Projection	Projection
Revenue (including deferrals)						
Government of Alberta grants	77,234	73,129	77,024	78,980	79,584	80,404
Federal and other government grants	-	-	-	-	-	-
Student tuition and fees	-	-	-	-	-	-
Sales of services and products	8	129	129	123	123	124
Donations and other grants	4,894	3,114	5,041	4,062	4,256	4,472
Investment income	19,430	22,904	29,744	25,169	25,737	26,591
Investment gain (loss) from government business enterprise	-	-	-	-	-	-
Gain on sale of tangible capital assets	-	-	-	-	-	-
Total revenue	**101,566**	**99,276**	**111,938**	**108,334**	**109,700**	**111,591**
Expense						
Salaries	54,533	50,524	50,097	56,903	57,468	58,139
Employee benefits	12,289	14,265	11,793	14,173	14,313	14,464
Materials, supplies and services	14,417	18,140	16,108	13,810	14,066	14,292
Scholarships and bursaries	16,250	11,859	15,000	19,005	19,538	20,254
Maintenance and repairs	52	100	50	148	150	153
Utilities	-	-	-	-	-	-
Amortization of tangible capital assets	-	-	-	-	-	-
Total expense	**97,541**	**94,888**	**93,048**	**104,039**	**105,535**	**107,302**
Annual operating surplus (deficit)	**4,025**	**4,388**	**18,890**	**4,295**	**4,165**	**4,289**

3 Concluding Comments

This continues to be a challenging time for the University of Alberta. Responding to a much lower level of government support while also dealing with the unique impacts and aftermath of the COVID-19 pandemic and related campus closures, demonstrates our community's resilience. This budget has been developed with reasonable assumptions and we will proceed forward both on a note of caution and prudence and with a commitment to continued innovation and quality.

Appendix A: Supplemental Financial Information

Table 14. Budget Consolidated Statement of Operations with Expenses by Function

($000's)	2020-21	2021-22		2022-23	2023-24	2024-25
	Actual	Budget	Forecast	Budget	Projection	Projection
Revenue (including deferrals)						
Government of Alberta grants	779,987	739,412	730,367	**694,597**	690,536	688,294
Federal and other government grants	228,655	202,366	223,522	**216,784**	220,452	223,135
Student tuition and fees	387,315	424,908	430,763	**463,270**	484,225	509,708
Sales of services and products	140,635	182,482	176,303	**207,391**	212,302	217,957
Donations and other grants	119,957	124,361	133,440	**128,429**	131,002	133,455
Investment income	103,685	91,269	120,151	**101,787**	103,618	106,368
Investment income from government business enterprise	(214)		-	**-**	-	-
Gain on sale of tangible capital assets	-		34,911	**-**	-	-
Total Revenue	**1,760,020**	**1,764,798**	**1,849,457**	**1,812,258**	**1,842,135**	**1,878,917**
Expense by function						
Academic costs and institutional support	980,618	977,945	966,724	**975,895**	1,003,000	1,031,308
Research	450,162	454,099	487,222	**474,556**	483,864	488,835
Facility operations and maintenance	122,764	147,304	143,754	**161,439**	135,009	127,989
Special purpose	99,235	97,020	94,754	**105,603**	107,179	108,971
Ancillary services	71,748	85,277	86,110	**94,412**	95,749	95,688
Total Expenses	**1,724,527**	**1,761,645**	**1,778,564**	**1,811,905**	**1,824,801**	**1,852,791**
Annual operating surplus	**$ 35,493**	**$ 3,153**	**$ 70,893**	**$ 353**	**17,334**	**26,126**

Please note that the groupings used for Special Purpose and Research are slightly different than those used for the development of the overall budget. In particular, special purpose includes the attribution of amortization in this presentation where it does not in the tables above. Research in this context also includes costs related to the administration of research and costs related to graduate studies.

Table 15. Budget Consolidated Statement of Cash Flows

($000's)	2020-21	2021-22		2022-23
	Actual	Budget	Forecast	Budget
Operating Transactions				
Annual surplus (deficit)	53,650	3,153	92,658	353
Add (deduct) non-cash items:				
Amortization of tangible capital assets	157,883	159,873	160,162	160,030
Expended capital recognized as revenue	(96,455)	(96,074)	(96,074)	(92,641)
Investment loss from government business enterprise	214	-	-	-
(Gain) loss on sale of portfolio investments	(64,294)	(90,626)	(151,631)	(101,060)
(Gain) loss on disposal of tangible capital assets	748	-	-	-
Increase (decrease) in employee future benefit liabilities	14,612	(2,223)	747	3,644
Change in non-cash items	12,708	(29,050)	(86,796)	(30,027)
(Increase) decrease in accounts receivable	12,524	(3,254)	(3,002)	(2,789)
(Increase) decrease in inventories held for sale	(1,331)	(45)	(73)	(68)
Increase (decrease) in accounts payable and accrued liab	802	4,222	4,194	3,896
Increase (decrease) in deferred revenue	124,807	8,845	70,905	(43,522)
(Increase) decrease in prepaid expenses	(327)	(208)	(212)	(197)
Cash provided by (applied to) operating transactions	202,833	(16,337)	77,674	(72,354)
Capital Transactions				
Acquisition of tangible capital assets	(178,587)	(202,612)	(157,514)	(195,581)
Cash applied to capital transactions	(178,587)	(202,612)	(157,514)	(195,581)
Investing Transactions				
(Purchases) of portfolio investments, net of sales	(86,813)	100,613	(84,821)	143,250
Cash provided by (applied to) investing transactions	(86,813)	100,613	(84,821)	143,250
Financing Transactions				
Debt - new financing, net of (debt repayment)	(17,466)	(17,336)	(5,116)	(17,336)
Increase in spent deferred capital contributions	100,998	105,093	84,208	131,548
Cash provided by financing transactions	83,532	87,757	79,092	114,212
Increase (decrease) in cash and cash equivalents	20,965	(30,579)	(85,569)	(10,473)
Cash and cash equivalents, beginning of year	75,343	33,378	96,308	10,739
Cash and cash equivalents, end of year	96,308	2,799	10,739	266

Table 16. Budget Consolidated Statement of Changes in Net Financial

($000's)	2020-21	2021-22		2022-23
	Actual	Budget	Forecast	Budget
Annual surplus (deficit)	53,650	3,153	92,658	353
Acquisition of tangible capital assets	(187,659)	(202,612)	(157,514)	(195,581)
Proceeds on disposal of tangible capital assets	5,159	-	-	-
Amortization of tangible capital assets	157,883	159,873	160,162	160,030
Loss on disposal of tangible capital assets	748	-	-	-
Change in prepaid expenses	(327)	(208)	(212)	(197)
Change in spent deferred capital contributions	8,456	9,019	(11,866)	38,907
Change in accumulated remeasurement gains	371,359	55,539	110,693	82,844
Increase (decrease) in net financial assets	**409,269**	**24,764**	**193,921**	**86,356**
Net financial assets, beginning of year	**1,115,952**	**1,229,456**	**1,525,221**	**1,719,142**
Net financial assets, end of year	**1,525,221**	**1,254,220**	**1,719,142**	**1,805,498**

Attachment 2

Consolidated Budget FY 2022-23

Academic Planning Committee - March 9, 2022

Board Finance & Property Committee - March 10, 2022

Board of Governors - March 25, 2022

UNIVERSITY OF ALBERTA

Agenda

- Current Approval Path
- University of Alberta Consolidated Budget
- University of Alberta Operating Budget
  - Provincial Grants
  - Tuition & Mandatory Non-Instructional Fees
- University of Alberta Ancillary Budget
- University of Alberta Research Budget
- University of Alberta Capital Budget
- University of Alberta Special Purpose Budget
- Questions

Current Approval Path

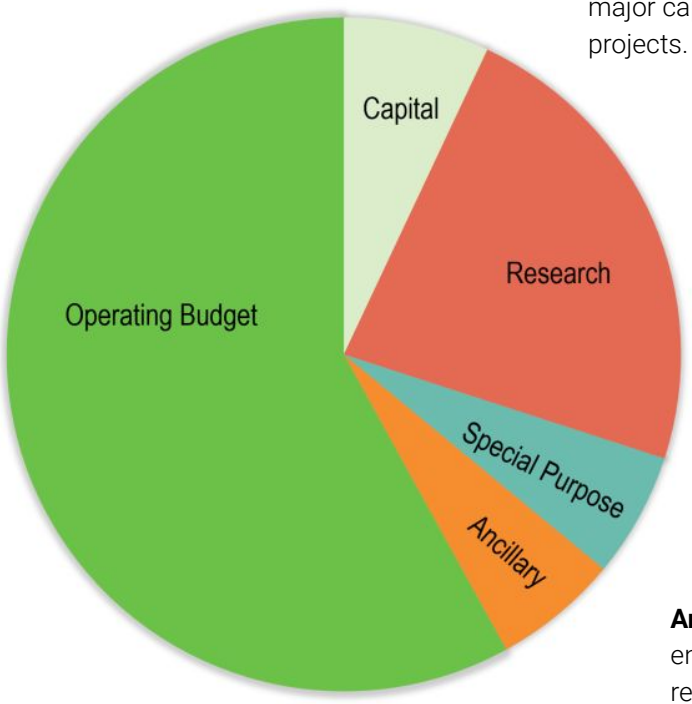
Attachment 2

February 4	University Governance Budget Briefing
February 24	GoA 2022 Budget Release
March 9	Academic Planning Committee (recommendation on tuition/fees and budget)
March 10	Board Finance and Property Committee (recommendation on tuition/fees, residence rates, budget and capital budget; approval of meal plan rates)
March 25	Board of Governors Meeting (approval on tuition/fees, residence rates, parking rates, budget and capital budget)

University of Alberta Consolidated Budget

Structure of Consolidated Budget

FY 2021-22 Breakdown



Capital (7%): includes both restricted and unrestricted funding used for major capital/deferred maintenance projects.

Research (23%): subject to external restrictions, and can only be used for the purposes for which the funds were provided.

Special Purpose (6%): primarily related to the Academic Medicine and Health Services Program, and annual endowment spending allocations from non-research related endowments.

Ancillary (6%): stand-alone enterprises funded by their own revenues.

Operating (58%): represents the institution's general operations. The budget process focuses on the allocation of these funds.

Attachment 2

University of Alberta Consolidated Budget *- cont'd*

($000's)	2020-21	2021-22		2022-23	2023-24	2024-25
	Actual	Budget	Forecast	Budget	Projection	Projection
Revenue (including deferrals)						
Government of Alberta grants	779,987	739,412	730,367	694,597	690,536	688,294
Federal and other government grants	228,655	202,366	223,522	216,784	220,452	223,135
Student tuition and fees	387,315	424,908	430,763	463,270	484,225	509,708
Sales of services and products	140,635	182,482	176,303	207,391	212,302	217,957
Donations and other grants	119,957	124,361	133,440	128,429	131,002	133,455
Investment income	103,685	91,269	120,151	101,787	103,618	106,368
Investment gain (loss) from government business enterprise	(214)	-	-	-	-	-
Gain on sale of tangible capital assets	-	-	34,911	-	-	-
Total revenue	**1,760,020**	**1,764,798**	**1,849,457**	**1,812,258**	**1,842,135**	**1,878,917**
Expense						
Salaries	891,502	873,496	883,564	880,851	890,833	900,699
Employee benefits	208,711	193,052	195,572	200,852	206,229	211,483
Materials, supplies and services	215,026	239,468	255,461	259,492	251,670	258,946
Scholarships and bursaries	138,443	142,179	150,843	158,191	161,982	165,560
Maintenance and repairs	66,264	103,194	78,426	93,023	82,632	75,170
Utilities	46,698	50,383	54,536	59,466	58,718	58,941
Amortization of tangible capital assets	157,883	159,873	160,162	160,030	172,737	181,992
Total expense	**1,724,527**	**1,761,645**	**1,778,564**	**1,811,905**	**1,824,801**	**1,852,791**
Annual operating surplus (deficit)	**35,493**	**3,153**	**70,893**	**353**	**17,334**	**26,126**

Attachment 2

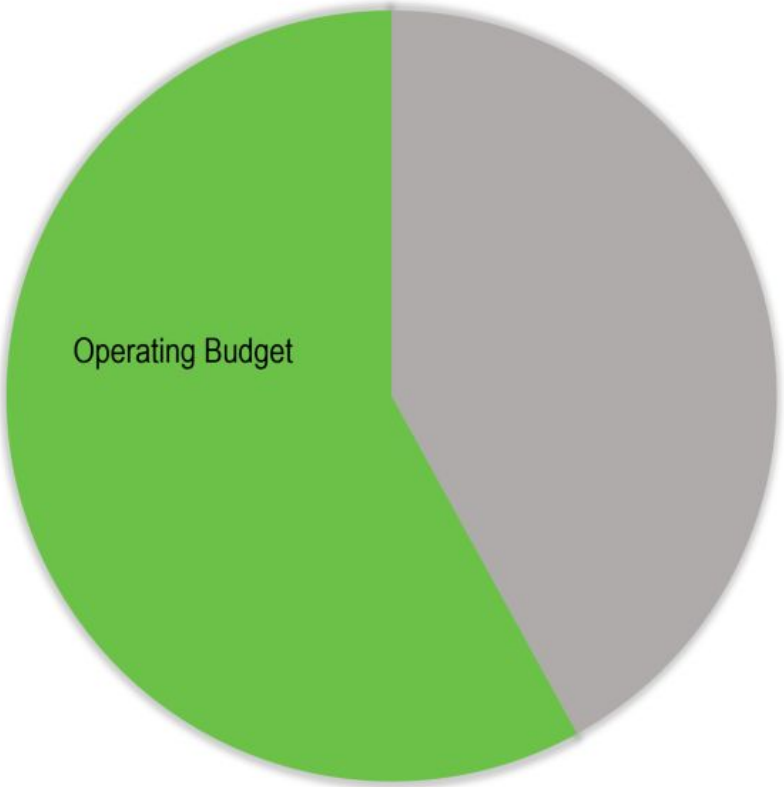
University of Alberta Consolidated Budget - *by Fund Type*

($000's)	Operating	Ancillary Operations	Research	Capital	Special Purpose	Total
Revenue (including deferrals)						
Government of Alberta grants	456,463	-	67,723	91,431	78,980	**694,597**
Federal and other government grants	22,799	-	174,075	19,910	-	**216,784**
Student tuition and fees	462,705	565	-	-	-	**463,270**
Sales of services and products	84,942	104,157	18,169	-	123	**207,391**
Donations and other grants	6,250	-	98,347	19,770	4,062	**128,429**
Investment income	20,000	10	55,908	700	25,169	**101,787**
Investment gain (loss) from government business enterprise	-	-	-	-	-	**-**
Gain on sale of tangible capital assets	-	-	-	-	-	**-**
Total revenue	**1,053,159**	**104,732**	**414,222**	**131,811**	**108,334**	**1,812,258**
Expense						
Salaries	638,641	20,979	164,328	-	56,903	**880,851**
Employee benefits	152,901	5,331	28,447	-	14,173	**200,852**
Materials, supplies and services	71,707	32,169	125,245	16,561	13,810	**259,492**
Scholarships and bursaries	52,513	-	86,673	-	19,005	**158,191**
Maintenance and repairs	25,370	20,009	1,757	45,739	148	**93,023**
Utilities	54,829	3,863	774	-	-	**59,466**
Amortization of tangible capital assets	55,328	12,061	-	92,641	-	**160,030**
Total expense	**1,051,289**	**94,412**	**407,224**	**154,941**	**104,039**	**1,811,905**
Annual operating surplus (deficit)	**1,870**	**10,320**	**6,998**	**(23,130)**	**4,295**	**353**

University of Alberta Operating Budget

Attachment 2

Operating (58%): represents the institution's general operations. The budget process focuses on the allocation of these funds.



Attachment 2

University of Alberta Operating Budget

($000's)	2020-21	2021-22		2022-23	2023-24	2024-25
	Actual	Budget	Forecast	Budget	Projection	Projection
Revenue (including deferrals)						
Government of Alberta grants	569,645	508,235	508,258	456,463	456,463	456,463
Federal and other government grants	21,955	22,008	22,221	22,799	23,278	23,743
Student tuition and fees	387,315	424,354	430,533	462,705	483,649	509,117
Sales of services and products	75,883	89,700	80,557	84,942	86,726	88,460
Donations and other grants	6,785	8,262	5,890	6,250	6,381	6,509
Investment income	37,333	15,000	25,000	20,000	20,000	20,000
Investment gain (loss) from government business enterprise	(214)	-	-	-	-	-
Gain on sale of tangible capital assets	-	-	592	-	-	-
Total revenue	**1,098,702**	**1,067,559**	**1,073,051**	**1,053,159**	**1,076,497**	**1,104,292**
Expense						
Salaries	655,358	645,034	638,778	638,641	648,000	657,100
Employee benefits	163,817	145,668	148,092	152,901	158,002	162,976
Materials, supplies and services	63,440	80,352	80,540	71,707	73,219	77,464
Scholarships and bursaries	40,039	45,840	46,376	52,513	55,771	58,633
Maintenance and repairs	20,396	33,407	22,996	25,370	25,903	26,420
Utilities	41,163	46,191	49,820	54,829	53,985	54,110
Amortization of tangible capital assets	50,737	53,026	53,506	55,328	60,710	63,809
Total expense	**1,034,950**	**1,049,518**	**1,040,108**	**1,051,289**	**1,075,590**	**1,100,512**
Annual operating surplus (deficit)	**63,752**	**18,041**	**32,943**	**1,870**	**907**	**3,780**

Provincial Grants

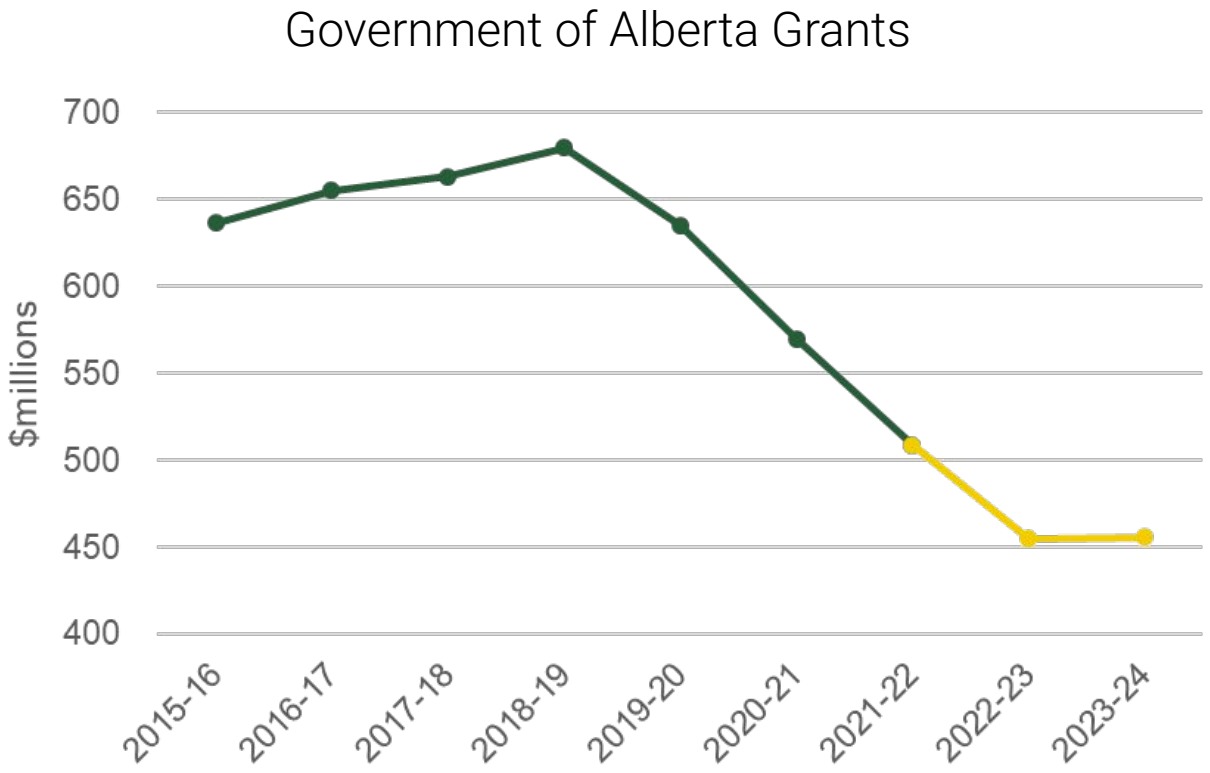
- Operating Program and Support Grant
- Operating Program and Support Grant History
- Capital Maintenance Renewal Grant

Operating and Program Support Grant

- The Operating and Program Support Grant (OPS) is the main source of operating funding provided by the provincial government.
- Funding announcements in the Provincial Budget were largely as expected for the University.
- Our Operating Grant reduction was 10.7% versus the 11.0% that we had expected, which translates into $1.7 million less of a base reduction than we were forecasting.

Attachment 2

Operating and Program Support Grant History



Capital Maintenance Renewal Grant

Attachment 2

- The GoA has historically provided a grant principally to address deferred maintenance - formerly infrastructure maintenance program (IMP); now capital maintenance and renewal (CMR).
- After an unusually high grant of $48 million last year, this year the CMR grant will be $34.9 million, which is closer to recent years' allocation. This is somewhat unexpected as we were informed last year's increase would be clawed back in subsequent years.
- These are the only funds the university uses to address a still-growing deferred maintenance liability.

Attachment 2

Tuition & Mandatory Non-Instructional Fees

- Fall 2022 Tuition Proposal
  - Domestic
  - International
  - Tuition Offset
- Fall 2022 Mandatory Non-Instructional Fees Proposal
- Exceptional Tuition Increases
- U15 Domestic and International Tuition Comparators
- Tuition Revenue Sensitivities

Fall 2022 Tuition Proposal - Domestic

Attachment 2

Proposed 7% increase for domestic undergraduate and graduate students.

- Thesis-based graduate students admitted prior to Fall 2020 receive a rebate to 2.67% increase.
- Financial support offset of 15% of increase for domestic students continues (implemented in the fall of 2020).

Tuition Fees - Domestic

Increase of 7% in 2022-23 for Undergraduate and Graduate

Tuition Fees - Domestic*	2021-22	2022-23	Change	Change (%)
Undergraduate, Arts and Science	$6,091.20	$6,517.58	$426.38	7.0
Undergraduate, Business**	$8,012.48	$8,573.35	$560.87	7.0
Undergraduate, Engineering**	$7,309.44	$7,821.10	$511.66	7.0
Graduate Thesis (entry prior to Fall 2020)***	$3,860.40	$3,976.21	$115.81	2.67
Graduate Thesis (Fall 2020 and beyond)	$4,192.80	$4,486.30	$293.50	7.0
Graduate Course-based (per 3 credit course)	$714.48	$764.49	$50.01	7.0

*Programs listed for illustration only. This list is not exhaustive.
**Business and Engineering rates are for students admitted prior to Fall 2022.
***Continuing graduate thesis students increase by 7% with a rebate to bring the effective increase down to 2.67%.

Fall 2022 Tuition Proposal - International

Attachment 2

Proposed 4% increase for international undergraduate and graduate students admitted prior to Fall 2020.

- Thesis-based graduate students admitted prior to Fall 2020 are subject to 7% increase, but receive a rebate to 2.67%.
- Financial support offset of 7.55% of total tuition for international students continues.
- Tuition for international students admitted starting in Fall 2020 falls under program-based model. A 2% increase to program-based tuition was already approved for Fall 2022 intake.

Attachment 2

Tuition Fees - International

Tuition Fees - International (Legacy)*	2021-22	2022-23	Change	Change (%)
Undergraduate, Arts and Science	$24,081.60	$25,044.86	$963.26	4.0
Undergraduate, Business	$31,678.80	$32,945.95	$1,267.15	4.0
Undergraduate, Engineering	$28,898.40	$30,054.34	$1,155.94	4.0
Graduate Thesis**	$8,217.60	$8,464.13	$246.53	2.67
Graduate Course-based (per 3 credit course)	$1,562.88	$1,625.40	$62.52	4.0

*Programs listed for illustration only. This list is not exhaustive. Rates for students admitted prior to Fall 2020.
**Continuing graduate thesis students increase by 7% with a rebate to bring the effective increase down to 2.67%.

Attachment 2

Tuition Fees - International

Tuition Fees - International (Program-based)*	2021-22	2022-23	Change	Change (%)
Undergraduate, Arts and Science	$29,500.00	$30,090.00	$590.00	2.0
Undergraduate, Business	$35,000.00	$35,700.00	$700.00	2.0
Undergraduate, Engineering	$39,500.00	$40,290.00	$790.00	2.0
Graduate Thesis	$8,700.00	$8,874.00	$174.00	2.0
Graduate Course-based (per 3 credit course)	$1,864.30	$1,901.52	$37.22	2.0

*Programs listed for illustration only. This list is not exhaustive. Rates for students admitted in Fall 2020 and beyond.

Note: For Reference Only. International (Program-based) Tuition Fees are approved for Fall 2022.

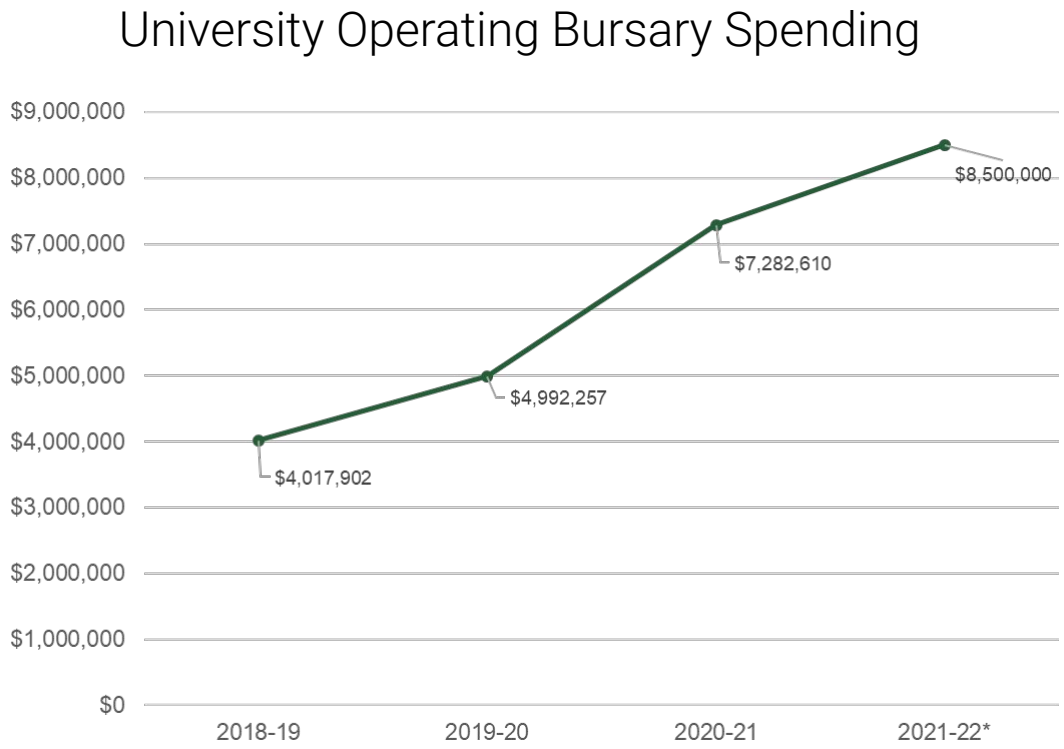
Tuition Offset

15% of domestic tuition increases and 7.55% of total international tuition are set aside to support student financial supports.

Tuition offsets serve to:

1. Offset potential negative financial impacts from tuition increases, and
2. Continue to support vulnerable student populations (e.g. students from low-income families, students with dependents, Indigenous students, students with disabilities, and students facing emergent financial challenges).

Tuition Offset *- cont'd*



*Projected

Mandatory Non-Instructional Fees (MNIF)

The MNIFs are proposed to increase by 1.38% in 2022-23, as per an agreed upon formula (Academic Price Index) based on the University's cost drivers.

MNIFs (full-time rates, 2 terms*)	2021-22	2022-23 (after API)	Change	Change (%)
Student Health and Wellness	$127.60	$129.36	$1.76	1.38
Student Academic Support	$517.20	$524.34	$7.14	1.38
Athletics and Recreation	$183.28	$185.81	$2.53	1.38

*Annual amounts for full-time enrollment in Fall and Winter terms.

Exceptional Tuition Increases (ETI)

Attachment 2

On October 15, 2021, the Board of Governors approved a recommendation for Exceptional Tuition Increases (ETI) for implementation in 2022-23:

- 12 programs affected.
- Applicable to domestic tuition fees only (not international).
- Increases would apply to students admitted in Fall 2022 and beyond only.
- The increase must result in improvements in program quality.
- The Minister has now approved the ETI proposals.

Attachment 2

Exceptional Tuition Increase (ETI) *- cont'd*

Faculty	Program	Approved Tuition 2021-22	Fall 2022 Proposed ETI ($)	Fall 2022 Proposed ETI (%)	Approved Tuition 2022-23
UNDERGRADUATE					
Business	BComm	$8,012.48	$1,761.76	22.00%	$9,774.24
Engineering	BSc Engineering	$7,309.44	$1,789.92	24.50%	$9,099.36
Law	JD	$11,701.48	$3,393.36	29.00%	$15,094.84
Medicine	BSc Radiation Therapy	$6,091.20	$1,218.00	20.00%	$7,309.20
Medicine	BSc Med Lab Sciences	$6,091.20	$1,034.40	17.00%	$7,125.60
Medicine	DDS	$23,109.16	$9,243.60	40.00%	$32,352.76
Medicine	AP DDS	$57,093.40	$9,243.60	16.19%	$66,337.00
Pharmacy	PharmD	$11,431.68	$5,029.12	44.00%	$16,460.80
GRADUATE					
Business	MBA	$14,380.80	$10,243.20	71.23%	$24,624.00
Engineering	MEng	$7,345.20	$1,688.40	22.99%	$9,033.60
Education	Master Counselling Psych - Course	$4,268.88	$4,286.99	100.00%	$8,573.76
Education	Master Counselling Psych - Thesis	$4,192.80	$4,380.96	104.49%	$8,573.76

Attachment 2

U15 Tuition Comparators - Domestic

	Domestic								
	Arts & Social Science Undergraduate			MA			PhD		
2021-22 Tuition	*Tuition*	*MNIFs retained by Institution*	*Total*	*Tuition*	*MNIFs retained by Institution*	*Total*	*Tuition*	*MNIFs retained by Institution*	*Total*
University of Alberta	**$6,091 (10th*)**	**$828 (4th*)**	**$6,919 (7th*)**	**$4,193 (13th*)**	**$1,021 (4th*)**	**$5,214 (12th*)**	**$4,193 (10th*)**	**$1,021 (4th*)**	**$5,214 (10th*)**
AVERAGE (Excluding U of A)	**$ 6,670**	**$ 665**	**$ 7,335**	**$ 6,616**	**$ 679**	**$ 7,295**	**$ 5,095**	**$ 690**	**$ 5,785**
Dalhousie University	$ 8,346	$ 710	$ 9,056	$ 8,835	$ 975	$ 9,810	$ 6,519	$ 975	$ 7,494
McMaster University	$ 6,224	$ 687	$ 6,910	$ 6,307	$ 271	$ 6,579	$ 6,307	$ 271	$ 6,579
Queen's University	$ 6,083	$ 568	$ 6,651	$ 5,773	$ 377	$ 6,150	$ 5,773	$ 377	$ 6,150
University of British Columbia	$ 5,617	$ 275	$ 5,892	$ 5,198	$ 235	$ 5,433	$ 5,198	$ 235	$ 5,433
University of Calgary	$ 6,166	$ 719	$ 6,885	$ 3,464	$ 521	$ 3,985	$ 3,464	$ 521	$ 3,985
University of Manitoba	$ 4,352	$ 544	$ 4,895	$ 3,808	$ 650	$ 4,458	$ 3,808	$ 650	$ 4,458
University of Ottawa	$ 6,088	$ 325	$ 6,413	$ 7,370	$ 304	$ 7,675	$ 6,367	$ 304	$ 6,671
University of Saskatchewan	$ 6,710	$ 283	$ 6,993	$ 4,473	$ 338	$ 4,811	$ 4,473	$ 338	$ 4,811
University of Toronto	$ 6,100	$ 1,033	$ 7,133	$ 6,210	$ 1,033	$ 7,243	$ 6,210	$ 1,033	$ 7,243
University of Waterloo	$ 6,128	$ 469	$ 6,597	$ 6,762	$ 598	$ 7,360	$ 6,762	$ 598	$ 7,360
Western University	$ 6,050	$ 513	$ 6,563	$ 6,360	$ 541	$ 6,901	$ 6,360	$ 541	$ 6,901
McGill University	$ 8,506	$ 1,360	$ 9,866	$ 8,506	$ 1,281	$ 9,787	$ 2,725	$ 1,281	$ 4,006
Universite de Montreal	$ 8,506	$ 1,104	$ 9,610	$ 12,758	$ 1,661	$ 14,419	$ 4,088	$ 1,660	$ 5,748
Universite Laval	$ 8,506	$ 718	$ 9,224	$ 6,804	$ 718	$ 7,523	$ 3,270	$ 874	$ 4,145

*Ranking within U15, based on the highest to lowest tuition costs.

Notes:

1.U of A international graduate tuition figures do not include the $4,000 Graduate International Tuition (Reduction), which is charged and then remitted.

2. The University of Alberta's "MNIFs retained by Institution" reflect 2 terms for Undergraduate, and 3 terms for Graduate. This allows for the most accurate comparison possible with other U15 institutions.

3.Fees retained by student government and flow-through fees (e.g. U-PASS) are not included.

U15 Tuition Comparators - International

	International								
	Arts & Social Science Undergraduate			MA			PhD		
2021-22 Tuition	Tuition	MNIFs retained by Institution	Total	Tuition	MNIFs retained by Institution	Total	Tuition	MNIFs retained by Institution	Total
University of Alberta	$29,500 (8th*)	$828 (5th*)	$30,328 (8th*)	$8,700 (12th*)	$1,021 (5th*)	$9,721 (11th*)	$8,700 (7th*)	$1,021 (5th*)	$9,721 (6th*)
AVERAGE (Excluding U of A)	$ 32,544	$ 718	$ 33,262	$ 16,725	$ 732	$ 17,457	$ 11,284	$ 743	$ 12,027
Dalhousie University	$ 23,286	$ 1,451	$ 24,737	$ 16,014	$ 1,716	$ 17,730	$ 6,519	$ 1,716	$ 8,235
McMaster University	$ 37,237	$ 687	$ 37,923	$ 17,096	$ 271	$ 17,368	$ 6,307	$ 271	$ 6,579
Queen's University	$ 50,926	$ 568	$ 51,494	$ 12,927	$ 377	$ 13,304	$ 12,927	$ 377	$ 13,304
University of British Columbia	$ 41,156	$ 275	$ 41,431	$ 9,131	$ 235	$ 9,367	$ 9,131	$ 235	$ 9,367
University of Calgary	$ 22,189	$ 719	$ 22,908	$ 8,081	$ 521	$ 8,602	$ 8,081	$ 521	$ 8,602
University of Manitoba	$ 16,620	$ 544	$ 17,164	$ 7,133	$ 650	$ 7,783	$ 3,808	$ 650	$ 4,458
University of Ottawa	$ 36,161	$ 325	$ 36,486	$ 25,472	$ 304	$ 25,776	$ 6,367	$ 304	$ 6,671
University of Saskatchewan	$ 20,130	$ 283	$ 20,413	$ 8,096	$ 338	$ 8,435	$ 8,096	$ 338	$ 8,435
University of Toronto	$ 58,160	$ 1,033	$ 59,193	$ 26,210	$ 1,033	$ 27,243	$ 6,210	$ 1,033	$ 7,243
University of Waterloo	$ 42,520	$ 469	$ 42,989	$ 22,416	$ 598	$ 23,014	$ 22,188	$ 598	$ 22,786
Western University	$ 36,208	$ 513	$ 36,721	$ 18,984	$ 541	$ 19,525	$ 6,360	$ 541	$ 6,901
McGill University	$ 26,500	$ 1,360	$ 27,860	$ 18,662	$ 1,281	$ 19,943	$ 16,751	$ 1,281	$ 18,032
Universite de Montreal	$ 24,608	$ 1,104	$ 25,712	$ 27,993	$ 1,661	$ 29,654	$ 25,126	$ 1,660	$ 26,786
Universite Laval	$ 19,916	$ 718	$ 20,634	$ 15,933	$ 718	$ 16,651	$ 20,101	$ 874	$ 20,975

*Ranking within U15, based on the highest to lowest tuition.

Notes:

1.U of A international graduate tuition figures do not icostsnclude the $4,000 Graduate International Tuition (Reduction), which is charged and then remitted.

2.The University of Alberta's "MNIFs retained by Institution" reflect 2 terms for Undergraduate, and 3 terms for Graduate. This allows for the most accurate comparison possible with other U15 institutions.

3.Fees retained by student government and flow-through fees (e.g. U-PASS) are not included.

Tuition Revenue Sensitivities

Attachment 2

Sensitivity of a 1% change:	2022-23
Tuition Rate - Domestic	$2.1M
Tuition Rate - International, Legacy	$0.3M
Tuition Rate - International, Program-based*	$0.5M
MNIF Rates	$0.3M
Total Impact of a 1% Change to Rates**	$3.2M

Undergrad Enrolment Volume (1% change)	$3.0M

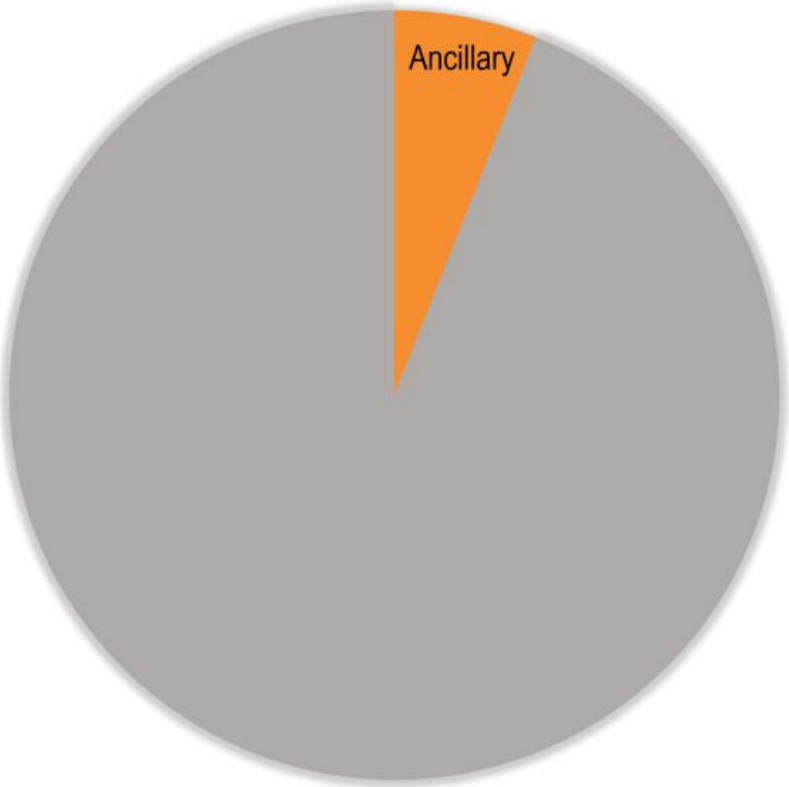
*Program-based cohort rates are fixed for the entire program duration.

**Reflects a 1% change to instructional rates (Domestic, International- Legacy, International- Program-based (incoming cohort year only)) and MNIF rates.

University of Alberta Ancillary Budget

Attachment 2

Ancillary (6%): stand-alone enterprises funded by their own revenues.



Attachment 2

University of Alberta Ancillary Budget

($000's)	2020-21	2021-22		2022-23	2023-24	2024-25
	Actual	Budget	Forecast	Budget	Projection	Projection
Revenue (including deferrals)						
Government of Alberta grants	-	-	-	-	-	-
Federal and other government grants	-	-	-	-	-	-
Student tuition and fees	-	554	230	565	576	591
Sales of services and products	47,381	75,231	75,638	104,157	106,920	110,470
Donations and other grants	-	-	5	-	-	-
Investment income	1,524	513	830	10	10	10
Investment gain (loss) from government business enterprise	-	-	-	-	-	-
Gain on sale of tangible capital assets	-	-	32,386	-	-	-
Total revenue	**48,905**	**76,298**	**109,089**	**104,732**	**107,506**	**111,071**
Expense						
Salaries	16,690	20,232	19,506	20,979	21,037	21,132
Employee benefits	4,055	5,155	4,743	5,331	5,467	5,596
Materials, supplies and services	20,331	26,673	30,070	32,169	31,773	31,711
Scholarships and bursaries	-	-	2	-	-	-
Maintenance and repairs	15,220	18,731	17,265	20,009	20,637	20,308
Utilities	4,761	3,713	3,942	3,863	3,959	4,057
Amortization of tangible capital assets	10,691	10,773	10,582	12,061	12,876	12,884
Total expense	**71,748**	**85,277**	**86,110**	**94,412**	**95,749**	**95,688**
Annual operating surplus (deficit)	**(22,843)**	**(8,979)**	**22,979**	**10,320**	**11,757**	**15,383**

Attachment 2

Summary of Proposed Changes for 2022-23

Residences

- 2.25% increase will be applied to residence rates.*

Meal Plans

- 3.0% increase to all meal plan rates.

Parking

- 2.6% increase to permit rates.
- 10% increase to highest demand permit locations.
- 18% to 22% increase to highest demand visitor rates.

*excluding Augustana Campus

Proposed Residence Rates for 2022-23

What do rate increases look like?

2.25%	Room Type	2022-23 Monthly Rate	2022-23 Monthly Increase
Lister Towers	Single (dorm)	$1,259	$28
Residence Saint-Jean	Single (private bath)	$831	$18
HUB	4-bedroom	$744	$16
Pinecrest / Tamarack	2-bedroom	$1,220	$27

20.6%	Room Type	2022-23 Monthly Rate	2022-23 Monthly Increase
Augustana	Renovated Ravine residences only	$586	$100

Proposed Meal Plan Rates for 2022-23

Attachment 2

What does a 3% rate increase look like?

	Plan Type	2022-23 Annual Rate	2022-23 Annual Increase
Level 1	7 - Day	$5,211	$152
Level 2	5 - Day	$4,548	$132

Proposed Parking Rates for 2022-23

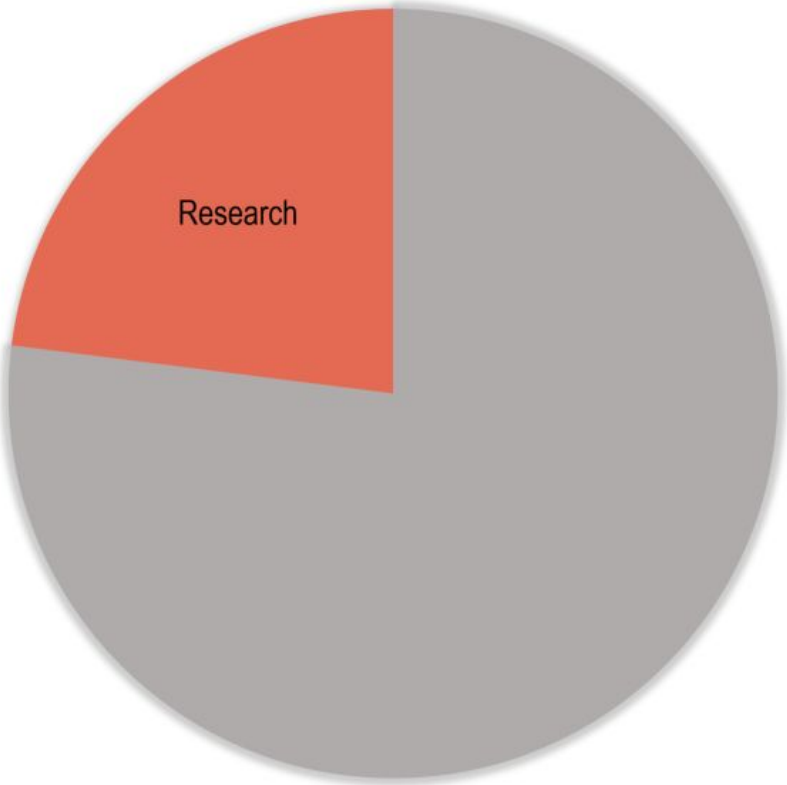
Attachment 2

	Parking Rates
2.6%	**Monthly / Annual Permit Rates** Augustana Campus Saint-Jean South Campus Jubilee Parkade Stadium Parkade Windsor Parkade Heated Underground Parking North Campus Evening Rates (secondary, graveyard, motorcycle, and evening)
10%	**Monthly / Annual Permit Rates** Electrical and Computer Engineering Research Facility Timms / TELUS Education Parkade Surface Lots (E, L, N, Jubilee)
18% to 22%	**Visitor Rates** Timms / TELUS Education Parkade Surface Lots (A, E, L, N, Jubilee, Stadium Loop, Van Vliet East / West)

University of Alberta Research Budget

Attachment 2

Research (23%): subject to external restrictions, and can only be used for the purposes for which the funds were provided.



Attachment 2

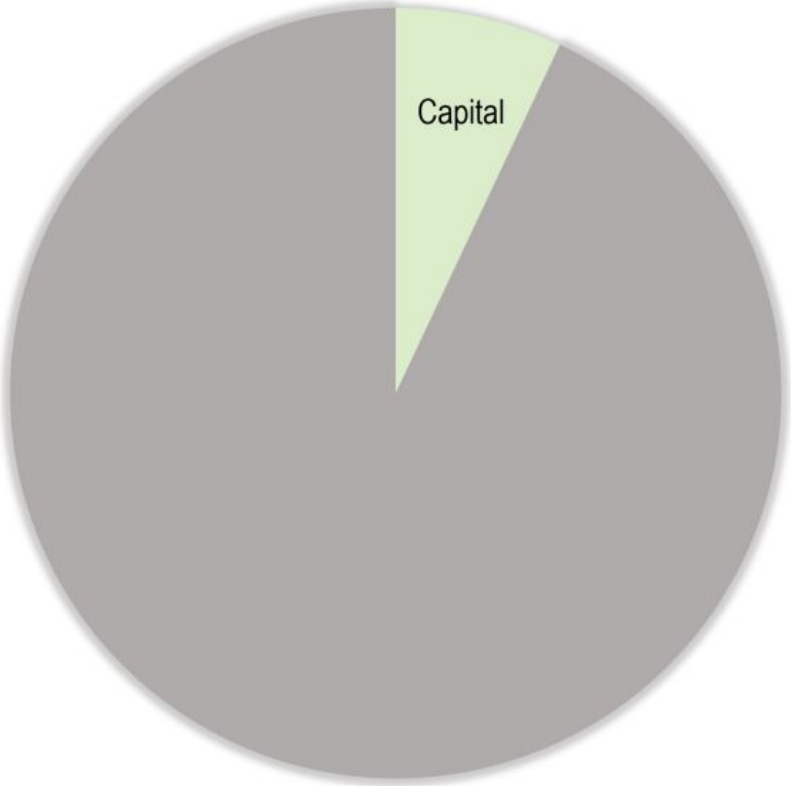
University of Alberta Research Budget

($000's)	2020-21	2021-22		2022-23	2023-24	2024-25
	Actual	Budget	Forecast	Budget	Projection	Projection
Revenue (including deferrals)						
Government of Alberta grants	60,898	65,094	68,506	67,723	67,392	66,595
Federal and other government grants	187,201	162,392	183,527	174,075	176,688	178,091
Student tuition and fees	-	-	-	-	-	-
Sales of services and products	17,363	17,422	19,979	18,169	18,533	18,903
Donations and other grants	84,656	89,927	105,467	98,347	99,841	100,677
Investment income	44,526	52,852	63,704	55,908	57,171	59,067
Investment gain (loss) from government business enterprise	-	-	-	-	-	-
Gain on sale of tangible capital assets	-	-	-	-	-	-
Total revenue	**394,644**	**387,687**	**441,183**	**414,222**	**419,625**	**423,333**
Expense						
Salaries	164,921	157,706	175,183	164,328	164,328	164,328
Employee benefits	28,550	27,964	30,944	28,447	28,447	28,447
Materials, supplies and services	108,574	110,610	119,066	125,245	131,452	134,830
Scholarships and bursaries	82,154	84,480	89,465	86,673	86,673	86,673
Maintenance and repairs	1,594	2,543	1,675	1,757	1,846	1,938
Utilities	774	479	774	774	774	774
Amortization of tangible capital assets	-	-	-	-	-	-
Total expense	**386,567**	**383,782**	**417,107**	**407,224**	**413,520**	**416,990**
Annual operating surplus (deficit)	**8,077**	**3,905**	**24,076**	**6,998**	**6,105**	**6,343**

University of Alberta Capital Budget

Attachment 2

Capital (7%): includes both restricted and unrestricted funding used for major capital/deferred maintenance projects.



Attachment 2

University of Alberta Capital Budget

($000's)	2020-21	2021-22		2022-23	2023-24	2024-25
	Actual	Budget	Forecast	Budget	Projection	Projection
Revenue (including deferrals)						
Government of Alberta grants	72,209	92,954	76,579	91,431	87,097	84,832
Federal and other government grants	19,499	17,966	17,774	19,910	20,486	21,301
Student tuition and fees	-	-	-	-	-	-
Sales of services and products	-	-	-	-	-	-
Donations and other grants	23,622	23,058	17,037	19,770	20,524	21,797
Investment income	873	-	873	700	700	700
Investment gain (loss) from government business enterprise	-	-	-	-	-	-
Gain on sale of tangible capital assets	-	-	1,933	-	-	-
Total revenue	**116,203**	**133,978**	**114,196**	**131,811**	**128,807**	**128,630**
Expense						
Salaries	-	-	-	-	-	-
Employee benefits	-	-	-	-	-	-
Materials, supplies and services	8,264	3,693	9,677	16,561	1,160	649
Scholarships and bursaries	-	-	-	-	-	-
Maintenance and repairs	29,002	48,413	36,440	45,739	34,096	26,351
Utilities	-	-	-	-	-	-
Amortization of tangible capital assets	96,455	96,074	96,074	92,641	99,151	105,299
Total expense	**133,721**	**148,180**	**142,191**	**154,941**	**134,407**	**132,299**
Annual operating surplus (deficit)	**(17,518)**	**(14,202)**	**(27,995)**	**(23,130)**	**(5,600)**	**(3,669)**

Attachment 2

University of Alberta Capital Revenue

($000's)	2022-23 Budget	2023-24 Projection	2024-25 Projection
Provincial Government Grants			
Capital Maintenance Renewal (CMR)	34,914	31,000	34,900
Dentistry/Pharmacy Renewal	56,000	-	-
Subtotal	**90,914**	**31,000**	**34,900**
Other Projects	7,100	2,100	2,100
Total revenue	**98,014**	**33,100**	**37,000**

Attachment 2

University of Alberta Materials, Supplies, and Services Budget

($000's)

Project	2022-23 Budget	2023-24 Projection	2024-25 Projection
UA District Energy System (DES)	3,265	512	-
Subtotal	**3,265**	**512**	**-**
Other MSS	13,296	648	649
Total materials, supplies and services	**16,561**	**1,160**	**649**

Attachment 2

University of Alberta Maintenance and Repairs Budget

($000's)

Project	2022-23 Budget	2023-24 Projection	2024-25 Projection
Health Sciences Library ECHA Integration	8,800	1,584	-
Enterprise Square Consolidation	4,950	-	-
Michener Park Demo	2,283		
Subtotal	**16,033**	**1,584**	**-**
Other Maintenance	8,593	4,006	2,075
CMR* and grant-funded maintenance	21,113	28,506	24,276
Total maintenance and repairs	**45,739**	**34,096**	**26,351**

**CMR projects included in both maintenance and TCA.*

Attachment 2

University of Alberta Tangible Capital Acquisitions Budget

($000's)

Project	2022-23 Budget	2023-24 Projection	2024-25 Projection
Dentistry Pharmacy Renewal & Repurpose	48,971	39,732	-
Biological Sciences- Zoology Wing	8,500	7,200	180
UA District Energy System (DES)	6,228	976	-
Lister Centre Classic Towers- Kelsey Hall	5,123	-	-
CAB Renovation (East Side)	3,850	-	-
Morrison Structures Lab	3,747	-	-
Health Science Infrastructure Optimization	3,741	1,000	-
Diwan Pavilion	2,370	-	-
HUB Mall Phases 7, 8 and 9	2,000	4,750	-
Lister Centre Classic Towers- Henday Hall	1,134	-	-
Subtotal	**85,664**	**53,658**	**180**
Other Capital Projects	18,439	1,800	41,250
CMR Capital*	29,803	4,634	14,904
Total tangible capital acquisitions	**133,906**	**60,092**	**56,334**

**CMR projects included in both maintenance and TCA.*

Capital Budget 2022-23

Principally strives to maintain and strengthen our position as a centre of world-class teaching and research.

Recognizes the imperatives of:

- Providing functional spaces to serve the university for the long-term
- Maximizing utilization of university-owned space
- Reducing overall footprint – space incapable of serving over the long-term
- Reducing our deferred maintenance liability

Capital Projects

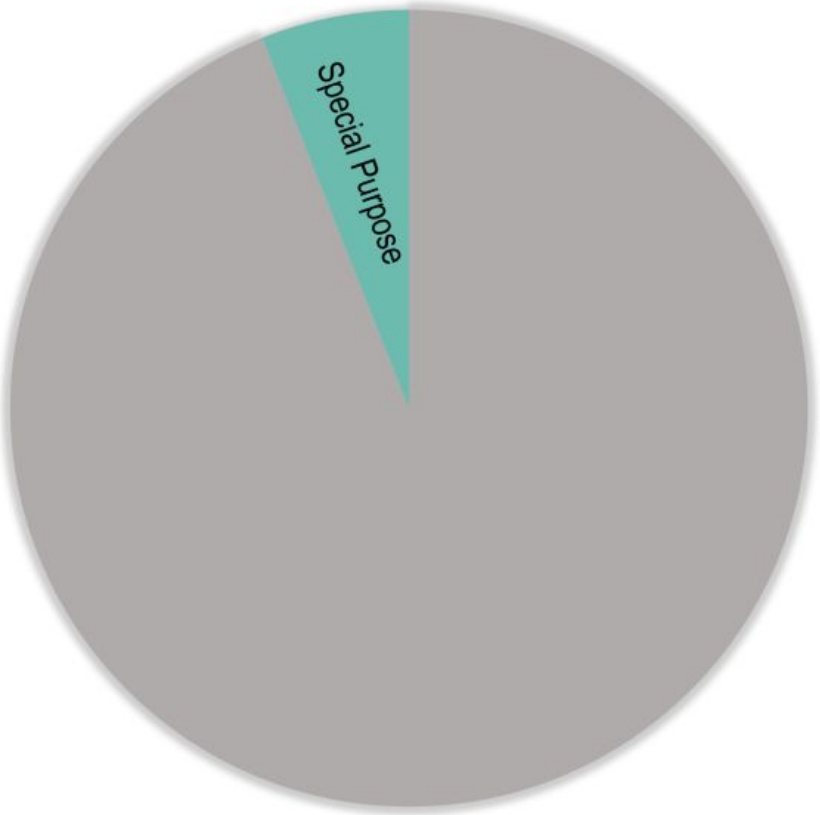
Attachment 2

Funded Projects	
2021 - 2024	**2022 - 2025**
Biological Sciences Brain and Aging Research Facility Central Academic Building Chemistry West - 1st and 2nd floor Chemistry electrical vault Clinical Sciences Diwan Pavilion (UABG) Edmonton Clinic Health Academy / John Scott Library Enterprise Square Fine Arts Building Lister Towers Morrison Structures Lab Tory University Commons	Biological Sciences Brain and Aging Research Facility Campus Saint-Jean electrical vault + Central Academic Building Chemistry West - 1st and 2nd floor Chemistry electrical vault Clinical Sciences Diwan Pavilion (UABG) DES - Cooling Plant river water intake Edmonton Clinic Health Academy / John Scott Library Fine Arts Building Enterprise Square Lister Towers Morrison Structures Lab Students' Union Building electrical vault Students' Union Building - Myer Horowitz Theatre Tory University Commons

2022-23 Aspirational Projects*	$ million
Universiade Pavilion (Butterdome)	32.50
Education Complex	21.95
College of Social Sciences and Humanities - space optimization	72.80
**top three - pending funding*	

University of Alberta Special Purpose Budget

Special Purpose (6%): primarily related to the Academic Medicine and Health Services Program, and annual endowment spending allocations from non-research related endowments.



Attachment 2

University of Alberta Special Purpose Budget

($000's)	2020-21	2021-22		2022-23	2023-24	2024-25
	Actual	Budget	Forecast	Budget	Projection	Projection
Revenue (including deferrals)						
Government of Alberta grants	77,234	73,129	77,024	78,980	79,584	80,404
Federal and other government grants	-	-	-	-	-	-
Student tuition and fees	-	-	-	-	-	-
Sales of services and products	8	129	129	123	123	124
Donations and other grants	4,894	3,114	5,041	4,062	4,256	4,472
Investment income	19,430	22,904	29,744	25,169	25,737	26,591
Investment gain (loss) from government business enterprise	-	-	-	-	-	-
Gain on sale of tangible capital assets	-	-	-	-	-	-
Total revenue	**101,566**	**99,276**	**111,938**	**108,334**	**109,700**	**111,591**
Expense						
Salaries	54,533	50,524	50,097	56,903	57,468	58,139
Employee benefits	12,289	14,265	11,793	14,173	14,313	14,464
Materials, supplies and services	14,417	18,140	16,108	13,810	14,066	14,292
Scholarships and bursaries	16,250	11,859	15,000	19,005	19,538	20,254
Maintenance and repairs	52	100	50	148	150	153
Utilities	-	-	-	-	-	-
Amortization of tangible capital assets	-	-	-	-	-	-
Total expense	**97,541**	**94,888**	**93,048**	**104,039**	**105,535**	**107,302**
Annual operating surplus (deficit)	**4,025**	**4,388**	**18,890**	**4,295**	**4,165**	**4,289**

Questions?

Leading with Purpose.

UNIVERSITY OF ALBERTA