

The following Motions and Documents were considered by the Board of Governors during the Open Session of its Friday, December 8, 2023 meeting:

Agenda Title: **Revised Enterprise Risk Management Policy**

APPROVED MOTION: THAT the Board of Governors, on the recommendation of the Board Audit and Risk Committee, approve the revised Enterprise Risk Management Policy, as set forth in Attachment 1.

Final Item: 8b.

Agenda Title: **Refreshed Integrated Asset Management Strategy**

APPROVED MOTION: THAT the Board of Governors, on the recommendation of the Board Finance and Property Committee and General Faculties Council, approve the refreshed Integrated Asset Management Strategy, as set out in Attachment 1, and empower the Vice-President (Facilities and Operations) to make any editorial changes to the Strategy, as needed, as long as the changes do not have the force of policy.

Final Item: 8c.

Agenda Title: **Revised Terms of Reference for Board Standing Committees: Audit and Risk Committee | Finance and Property Committee | Human Resources and Compensation Committee**

APPROVED MOTION 1: THAT the Board of Governors, on the recommendation of the Board Governance Committee and the Board Audit and Risk, Finance and Property, and Human Resources and Compensation Committees, approve proposed changes to the Standing Committees' Terms of Reference, as set forth in Attachment 1, to take effect January 1, 2024.

APPROVED MOTION 2: THAT the Board of Governors, on the recommendation of the Board Human Resources and Compensation Committee, delegate to the Provost and Vice-President (Academic) the authority, as set-out in Section 20 of the *Post-secondary Learning Act*, to:

- appoint the university's registrar; and
- with the president, assign the university registrar's powers, duties and functions;

with such delegation to take effect January 1, 2024.

Final Item: 8d.

Agenda Title: **Revisions to Presidential Search and Review Procedures and Appendix A: Committees for President Position Definitions and Eligibility**

APPROVED MOTION: THAT the Board of Governors, on the recommendation of the Board Human Resources and Compensation Committee, approve proposed revisions to the *Presidential Review Procedure*, *Presidential Search Procedure*, and *Presidential Search and Review Procedures (Appendix A): Committees for President Position Definitions and Eligibility*, as set forth in Attachment 1.

Final Item: 8e.

Decision X Discussion **Information**

ITEM OBJECTIVE: To approve the revised Enterprise Risk Management (ERM) Policy.

DATE	December 8, 2023
TO	Board of Governors
RESPONSIBLE PORTFOLIO	Vice-President (University Services and Finance)

MOTION: THAT the Board of Governors, on the recommendation of the Board Audit and Risk Committee, approve the revised Enterprise Risk Management Policy, as set forth in Attachment 1.

EXECUTIVE SUMMARY:

A refresh of the ERM Program has been completed and includes an update to the ERM Policy.

The proposed ERM Policy (Attachment 1 final draft, Attachment 2 red line) has been revised to include feedback received from the Board Audit and Risk Committee (BARC) at its September 25, 2023 meeting. The revised policy was recommended by BARC at its meeting on November 20, 2023 and is now being presented for approval by the Board of Governors.

The following summarizes the major changes to the ERM Policy, including those as a result of the September 25, 2023 BARC meeting (marked as new):

- Utilization of the University of Alberta's (university's) new policy template. (new)
- Updated the university community definition. (new)
- Alignment with the [University of Alberta Strategic Plan 2023-2033](#) (e.g. Overview, Risk Appetite).
- Streamlined the purpose of the policy.
- Incorporated the latest updates to the internationally recognized standard the university utilizes, International Organization for Standardization (ISO) 31000 (e.g. Policy, Roles and Responsibilities).
- Adjusted the risk appetite to incorporate responsibly managing risk.
- Added a separate section for roles and responsibilities incorporating the previous policy and the Vice-President, University Services and Finance, position description.
- Based on best practices, added a review schedule that requires the ERM Policy to be reviewed at minimum every five years or as required.
- Removed Related Links and Published Procedures that have transitioned to other policies over the past ten years.

Risk Discussion / Mitigation of the Risk

An update of the ERM policy provides the university with the opportunity to align the policy with the University Strategic Plan, integrate ERM into university activities and functions, and support the community in their understanding and role within the ERM program. The updated policy aligns with ISO 31000 standards and those standards are now incorporated into the ERM program. The updated ERM policy along with regular reviews mitigate the risk of the university's policy being outdated and irrelevant to university day-to-day operations.

Supporting Materials:

1. Revised ERM Policy (clean version – new template) (4 pages) – **for approval**
2. Revised ERM Policy (redlined version) (3 pages)

Original Approval Date: January 20, 2006
 Most Recent Approval: December 8, 2023
 Most Recent Editorial Date: December 8, 2023

Enterprise Risk Management Policy

Office of Accountability:	Office of the Vice-President (University Services and Finance)
Office of Administrative Responsibility:	Internal Audit and Enterprise Risk Management
Approver:	Board of Governors (Board Audit and Risk Committee)
Scope:	Compliance with the University of Alberta (university) policy extends to all members of the university community and all activities conducted by or on behalf of the university.

Overview

In an environment of significant change and of increasing competition it is essential that the university recognizes the importance of assuming a reasonable level of risk to fulfill its vision, mission and strategic priorities.

Due to the diverse nature of the university's education, research and community engagement, and the fact that not all risks can be transferred to third parties, the management of risk at all levels of the organization is imperative.

Purpose

The purpose of this policy is to formally articulate the university's approach to enterprise risk management (ERM) and provide an overview of the related roles and responsibilities.

Policy

1. Principles

The university will utilize the International Organization for Standardization 31000 “Risk management – Guidelines” standard to:

- a. Establish and maintain an effective and efficient ERM program, including an ERM Framework, to support the university in achieving its mission, vision and strategic priorities.
- b. Integrate the ERM program into the university’s culture, strategic and operational planning and activities.
- c. Ensure a systematic, consistent, proactive, continuous and scalable approach to ERM is utilized throughout the university to support decision making and governance responsibilities.
- d. Identify, assess, evaluate, treat and monitor the risks within the university’s risk appetite. This may include, when appropriate and cost effective, sharing the risk with third parties through the use of insurance policies, waivers and contracts.

2. Risk Appetite

In alignment with the [University of Alberta Strategic Plan “Shape - A Strategic Plan of Impact \(2023-2033\)”](#), the following is the university’s Institutional Risk Appetite Statement:

Over the next ten years, the university is striving for deeper and more transformational impact and promotes doing things fundamentally different. It is understood that there is an element of risk in any decision or activity and all members of the university community are encouraged to responsibly manage risk by leading with purpose and making a lasting, positive impact that assists the university in achieving its mission, vision and objectives.

3. Roles and Responsibilities

All members of the university community manage risk and work collaboratively to ensure an effective ERM program is in place.

The Board has ultimate oversight of the ERM program and has delegated responsibility to the Board Audit and Risk Committee, who is responsible for keeping the Board abreast of key developments.

The Vice President (University Services and Finance) has the following roles and responsibilities:

- Primary responsibility to establish and execute the ERM program in collaboration with the President and Vice Chancellor and the President’s Executive Committee - Strategic.
- Authority to establish, approve and amend procedures, including the ERM Framework, necessary for the purpose of implementing this policy.

4. Review

This policy will be reviewed by the Board, through the Board Audit and Risk Committee, at minimum every five years or as deemed required.

Definitions

Enterprise Risk Management	The coordinated activities to direct and control the university with regard to risk.
Risk	The effect of uncertainty on the university’s objectives. An effect is a deviation from the expected that can be positive (commonly referred to as an opportunity), negative, or both.
Risk Appetite	The amount of risk the university is willing to accept in the pursuit of its objectives.
University Community	All employees, (including but not limited to academic staff, support staff, excluded staff and postdoctoral fellows as outlined and defined in the Recruitment Policy (Appendix A and Appendix B: Definitions and Categories) , adjunct professors, professors emeriti, lecturers, clinical staff; all students (including undergraduate, graduate and Continuing & Professional Education students); visitors, volunteers, contractors, and members of the Board of Governors.

Related Links

- [Internal Audit and Enterprise Risk Management Website](#)
- [University of Alberta Strategic Plan “Shape - A Strategic Plan of Impact \(2023-2033\)”](#)

Published Procedures of This Policy

- Enterprise Risk Management Framework

DRAFT

Original Approval Date: January 20, 2006
Most Recent Approval Date: ~~December 8, 2023~~ April 23, 2012
Effective Date: December 8, 2023

DRAFT Enterprise Risk Management Policy

Office of Accountability:	Office of the Vice-President (University Services and Finance and Administration)
Office of Administrative Responsibility:	Internal Audit and Enterprise Risk Management Services
Approver:	Board of Governors (Board Audit and Risk Committee)
Scope:	Compliance with the University of Alberta (university) policy extends to all members of the u University community and all activities conducted by or on behalf of the university. The Risk Tolerance Statement is to be applied at the institutional level

OVERVIEW ~~verview~~

In an environment of significant change and of increasing competition it is essential that the ~~u~~University recognizes the importance of assuming a reasonable level of risk ~~if it is~~ to fulfill its vision, mission and strategic priorities.

Due to the diverse nature of the ~~u~~University's ~~education~~teaching, research and community ~~service~~engagement, and the fact that not all risks can be transferred to third parties ~~through insurance policies, contracts or waivers~~, the management of ~~residual~~risk at all levels of the organization is imperative. ~~The Board of Governors has delegated responsibility for risk management policy matters to the Board Audit Committee.~~

PURPOSE ~~urpose~~

The purpose of this policy is to formally articulate the university's approach to enterprise risk management (ERM) and provide an overview of the related roles and responsibilities. ~~The University is committed to building increased awareness and a shared responsibility for risk management at all levels of the organization. A clearly defined Risk Management Policy supports this. This policy is intended to assist in decision making processes that support the acceptance of risk, improve the management of existing uncertainty and the approach to new opportunities, thereby helping the University achieve its vision and mission and to maximize the University's available resources.~~



POLICY

1. Principles

Updated to align with ISO 31000 standards.

The University will utilize the International Organization for Standardization 31000 "Risk management — Guidelines" standard to:

- a) Establish and maintain an effective and efficient ERM program, including an ERM Framework, to support the university in achieving its mission, vision and strategic priorities.
- b) Integrate the ERM program into the university's culture, strategic and operational planning and activities.
- c) Ensure a systematic, consistent, proactive, continuous and scalable approach to ERM is utilized throughout the university to support decision making and governance responsibilities.
- d) Identify, assess, evaluate, treat and monitor the risks within the university's risk appetite. This may include, when appropriate and cost effective, sharing the risk with third parties through the use of insurance policies, waivers and contracts.

2. Risk Appetite

In alignment with the University of Alberta Strategic Plan “Shape - A Strategic Plan of Impact (2023-2033)”, the following is the university’s Institutional Risk Appetite Statement:

Updated to align with the University of Alberta Strategic Plan 2023 - 2033.

Over the next ten years, the university is striving for deeper and more transformational impact and promotes doing things fundamentally different. It is understood that there is an element of risk in any decision or activity and all members of the university community are encouraged to responsibly manage risk by leading with purpose and making a lasting, positive impact that assists ~~the university~~ **the university will accept and manage risk in support of the University achieving its mission, vision, mission and objectives/strategic priorities. In doing so it will protect both the University community and its assets and will maintain a proactive, long-term and sustainable enterprise-wide risk management strategy as summarized in the Risk Management Framework and supported by the Risk Tolerance Statement, which is applied at the institutional level.**

~~The management of risk is a shared responsibility at all levels of the University.~~

~~The University, when appropriate and cost-effective, will seek to share risk with third parties through the use of insurance policies, waivers and contracts.~~

3. Roles and Responsibilities

All members of the university community manage risk and work collaboratively to ensure an effective ERM program is in place.

The Board has ultimate oversight of the ERM program and has delegated responsibility to the Board Audit and Risk Committee, who is responsible for keeping the Board abreast of key developments.

The Vice President (University Services and Finance) has the following roles and responsibilities:

- Primary responsibility to establish and execute the ERM program in collaboration with the President and Vice Chancellor and the President’s Executive Committee - Strategic.
- Authority to establish, approve and amend procedures, including the ERM Framework, necessary for the purpose of implementing this policy.

Information obtained from the Vice President, University Services and Finance position description.

4. Review

This policy will be reviewed by the Board, through the Board Audit and Risk Committee, at minimum every five years or as deemed required.

DEFINITIONS [▲ Top](#)

<p>Any definitions listed in the following table apply to this document only with no implied or intended institution-wide use. ▲ Top</p>	
Enterprise Risk Management	The coordinated activities to direct and control the university with regard to risk.
Risk	<p>The effect of uncertainty on the university’s objectives. ¶</p> <p>An effect is a deviation from the expected that can be —positive (commonly referred to as an opportunity), and/or negative, or both. ¶</p> <p>Objectives can have different aspects (such as financial, health and safety, and environmental goals) and can apply at different levels (such as strategic, organization-wide, project, product and process). ¶</p> <p>Risk is often characterized by reference to potential events and consequences, or a combination of these. ¶</p>

	<p>Risk is often expressed in terms of a combination of the consequences of an event (including changes in circumstances) and the associated likelihood of occurrence.</p> <p>Uncertainty is the state, even partial, of deficiency of information related to, understanding or knowledge of, an event, its consequence, or likelihood.</p>
Risk Tolerance	<p>The organization's or stakeholder's readiness to bear the risk after risk treatment in order to achieve its objectives.</p> <p>NOTE Risk tolerance can be influenced by legal or regulatory requirements.</p>
Risk Management	<p>The coordinated activities to direct and control an organization with regard to risk.</p>
Risk Appetite	<p>The amount of risk the university is willing to accept in the pursuit of its objectives.</p>
University Community	<p>All employees, (including but not limited to academic staff, support staff, excluded staff and postdoctoral fellows as outlined and defined in the Recruitment Policy (Appendix A and Appendix B: Definitions and Categories), adjunct professors, professors emeriti, lecturers, clinical staff; all students (including undergraduate, graduate and Continuing & Professional Education students); visitors, volunteers, contractors, and members of the Board of Governors.</p>

RELATED LINKS

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

~~[University of Alberta Protective Services](#)~~

~~[Enterprise Risk Management and Compliance Steering Committee Terms of Reference](#)~~

~~[Environment, Health and Safety](#)~~

~~[Insurance and Risk Assessment](#)~~

Internal Audit and Enterprise Risk Management Website [Services](#)

[University of Alberta Strategic Plan "Shape - A Strategic Plan of Impact \(2023-2033\)"](#)

~~[Appendix A - Institutional Risk Tolerance Statement](#)~~

~~[Appendix B - Framework and Process](#)~~

PUBLISHED PROCEDURES OF THIS POLICY

~~[Emergency Preparedness and Operational Continuity Procedure](#)~~

~~[Loss Reporting Procedure](#)~~

~~[Risk Management Policy \(Appendix A\) Institutional Risk Tolerance Statement](#)~~

~~[Enterprise Risk Management Policy \(Appendix B\) Framework and Process](#)~~

~~[Waiver and Release of Liability and Informed Consent Procedure](#)~~



Decision X Discussion **Information**

ITEM OBJECTIVE: To review and approve a refreshed Integrated Asset Management Strategy.

DATE	December 8, 2023
TO	Board of Governors
RESPONSIBLE PORTFOLIO	Andrew Sharman, Vice-President (Facilities and Operations)

MOTION: THAT the Board of Governors, on the recommendation of the Board Finance and Property Committee and General Faculties Council, approve the refreshed Integrated Asset Management Strategy, as set out in Attachment 1, and empower the Vice-President (Facilities and Operations) to make any editorial changes to the Strategy, as needed, as long as the changes do not have the force of policy

EXECUTIVE SUMMARY:

Background

Approved by the General Faculties Council and the Board of Governors in June 2019, the university’s Integrated Asset Management Strategy (IAMS) ensures that decisions related to the stewardship of its infrastructure across the five campuses are made holistically and with the university’s long-term objectives in mind. IAMS outlines related principles, goals, and actions.

Although not contemplated when IAMS was developed, work is now underway to develop an accompanying Asset Management Master Plan (AMMP), which will become the university’s single master plan for asset utilization (including undeveloped lands), space optimization, and investment prioritization. The AMMP will draw a clear connection between the university’s broad-based strategic objectives and paint a picture of what the university’s infrastructure could look like over the next 20 years (if investment is available).

Much has changed in the university landscape since June 2019, not the least of which is the release of Shape: The University Strategic Plan 2023-2033 and the ambitious plan to grow to 60,000 students within the decade. While the principles, goals, and actions of IAMS remain largely relevant, much of the contextual content of IAMS has become dated, necessitating a refresh.

Analysis/Discussion

In general, updates to IAMS better reflect the objectives articulated in Shape. Additionally, content has been lifted from IAMS to be incorporated into the AMMP.

- Front sections were edited substantially, primarily to remove content more appropriately reflected in AMMP and strengthen strategic focus.
- Minor edits were made to the principles, goals, and actions to reflect Shape, to include content on space optimization, and to remove content more applicable to the AMMP.
- Minor language and grammar edits were made to the entire document.

Specific revisions can be reviewed in the redline document that compares the 2019 IAMS with the refreshed IAMS.

GOVERNANCE OUTLINE



Risk Discussion/Mitigation

The following risks are mitigated by refreshing IAMS:

- Leadership - Infrastructure decisions must align with the university's long-term strategic objectives. With the release of Shape, it is necessary to clearly articulate these linkages and connections in the refreshed IAMS.
- Funding/resource management - The AMMP will ensure infrastructure investments transparently consider the greatest return to the institution and improve overall sustainability of the university's infrastructure. The refreshed IAMS provides overarching, strategic guidance to asset management, and ultimately, to related decision-making.

Relevant Legislation/Policy

- Academic Planning Committee Terms of Reference
- Facilities Development Committee Terms of Reference
- Board Finance and Property Committee Terms of Reference

Next Steps

The refreshed IAMS document is being presented to the university's governance committees in November/December 2023 and requires Board of Governors approval:

- Academic Planning Committee and Facilities Development Committee - November 15
- General Faculties Council - November 20
- Board Finance and Properties Committee - November 28
- Board of Governors - December 8

Supporting Materials:

1. Integrated Asset Management Strategy - Refreshed October 2023 (11 pages) - **for approval**
2. Integrated Asset Management Strategy - 2019 vs 2023 Redline (20 pages)

Taking Care of our Campuses

Integrated Asset Management Strategy

Refresh October 2023

The University of Alberta, its buildings, labs and research stations are primarily located on the territory of the Néhiyaw (Cree), Niitsitapi (Blackfoot), Métis, Nakoda (Stoney), Dene, Haudenosaunee (Iroquois) and Anishinaabe (Ojibway/Saulteaux), lands that are now known as part of Treaties 6, 7 and 8 and homeland of the Métis. The University of Alberta respects the sovereignty, lands, histories, languages, knowledge systems and cultures of all First Nations, Métis and Inuit nations.

Vice-President Facilities and Operations Message

UNDER DEVELOPMENT

Andrew Sharman

Vice-President Facilities and Operations

Strategic Context

Over the next 10 years, the university is sharply focused on delivering innovative, flexible learning and student experiences; reinforcing and enhancing our research, innovation and creative activities; and fulfilling our responsibility as a leader and convenor to help shape and positively impact communities in Alberta, in Canada and worldwide.

This includes developing campus environments to give our students rich, memorable and meaningful experiences, ensuring our high-impact researchers benefit from quality research spaces and supports, and delivering transformational opportunities where students can flourish through experiential learning, residence communities, athletics and recreation, creative activity, and volunteer opportunities. It also means creating more opportunities for students to experience education at Campus Saint-Jean and Augustana Campus and continuing to support access to our facilities, events and activities for the public.

The university remains committed to incorporating Indigenous identities, languages, cultures and worldviews and achieving a more diverse, equitable, accessible and inclusive environment for all who work, learn and live within our community. This also includes providing safe and healthy work and study environments that enable high-quality education and research; leading through the prudent stewardship of resources; embracing opportunities to innovate to make

things better; and working together, within and beyond the university and across traditional boundaries.

Within this context, campus infrastructure must be capable of supporting growth and providing 21st century learning environments and accessible spaces. This strategy identifies the direction and actions to be taken to achieve that. An important focus is that all students, faculty, staff, visitors, and members of the community are stewards of the University of Alberta's buildings and grounds and how each uses the institution today directly impacts its future state.

Most importantly, this strategy sets out principles, goals, and actions to guide decisions that support the infrastructure needs of learners, researchers, faculty, staff, and the community at large, while balancing the financial and reputational risks, opportunities, and fiscal environment in which the institution operates.

The university manages almost 1.63 million square metres in 411 buildings across its campuses and research facilities. This is one of the largest volumes of buildings across the greatest land base of Canadian universities and over 60 percent of these buildings are over 40 years old.

The lifespan and ongoing functionality of infrastructure is affected by how it was constructed, how it was maintained, and how it has been treated by its users. Impacts from sudden weather or temperature changes also impact buildings and grounds. Because limited funding needs to be stretched as far as possible, it is important to ensure evidence drives all infrastructure decision-making. For too many years necessary maintenance and renewal activities have been delayed due to insufficient funding and, if this trajectory is not altered, the institution will face an increasing magnitude of disruptions to facilities and, consequently, the ability to support its academic and research objectives.

Tackling deferred maintenance, future-proofing infrastructure, and continuing sound fiscal stewardship in times of fiscal constraint will require new ways of thinking and decision-making. Even though better data and strategic analytics will inform decisions and improved coordination across campuses and with other partners will reduce concern, optimizing campus infrastructure will require some difficult choices to be made.

The priority across all campuses is on the renewal and refurbishment of existing buildings with very limited consideration for facility expansion or new construction. As facilities are considered for disposal or removed from our infrastructure inventory, the associated operating resources will be retained and directed towards maintaining, renewing, and operating the remaining assets.

By prioritizing our building inventory, a natural process for determining the allocation of available investment can be developed. In practice this means that a building that is nearing end-of-life and not capable of being reasonably renewed to meet teaching and research expectations will be identified for decommissioning and, as such, will receive only critical maintenance investments. For those buildings, efforts to increase awareness of these decisions are needed. Repurposing and/or removing any infrastructure from an institution with over a 100-year history

will require discussion to understand concerns and areas of potential resistance. These collaborative discussions and ultimate choices embody sound asset management practices grounded in principles.

The University of Alberta is not unique in facing a challenge of growing costs for managing infrastructure that exceed available resources, while balancing on-going and changing space needs, changing expectations of users, and increased innovation in building design and delivery. This is a challenge of many post-secondary institutions and public organizations world-wide. What will be unique is how the university is strategic in its use of analytics, the disciplined choices it will make to meet the growing needs and expectations for space, and its decisions in managing these costs. Simply stated, decisions related to identifying buildings for renewal, repurposing, closure, disposal, and even demolition will be driven by the evidence of today with projections of tomorrow. They will also look at partnerships and collaborative opportunities in infrastructure design, operations, maintenance, and funding.

While this strategy provides an overarching direction, an accompanying Asset Management Master Plan (AMMP) is the university's single master plan for infrastructure utilization (including undeveloped lands), space optimization, and investment prioritization. The plan presents a long-term view of our campus infrastructure and the path to get there and highlights evidence-based decision-making to optimize the university's infrastructure portfolio. By using a robust framework for assessing where infrastructure investments return the greatest value to the institution, we will be better able to manage risk and legislative/code compliance; effectively engage and communicate decisions to stakeholders; lower building lifecycle costs; and improve financial and environmental sustainability. The AMMP makes a clear connection between the university's broad-based strategic objectives and a picture of what the university's infrastructure could look like over the next 20 years if investment is available.

Infrastructure Planning and Reporting at the U of A

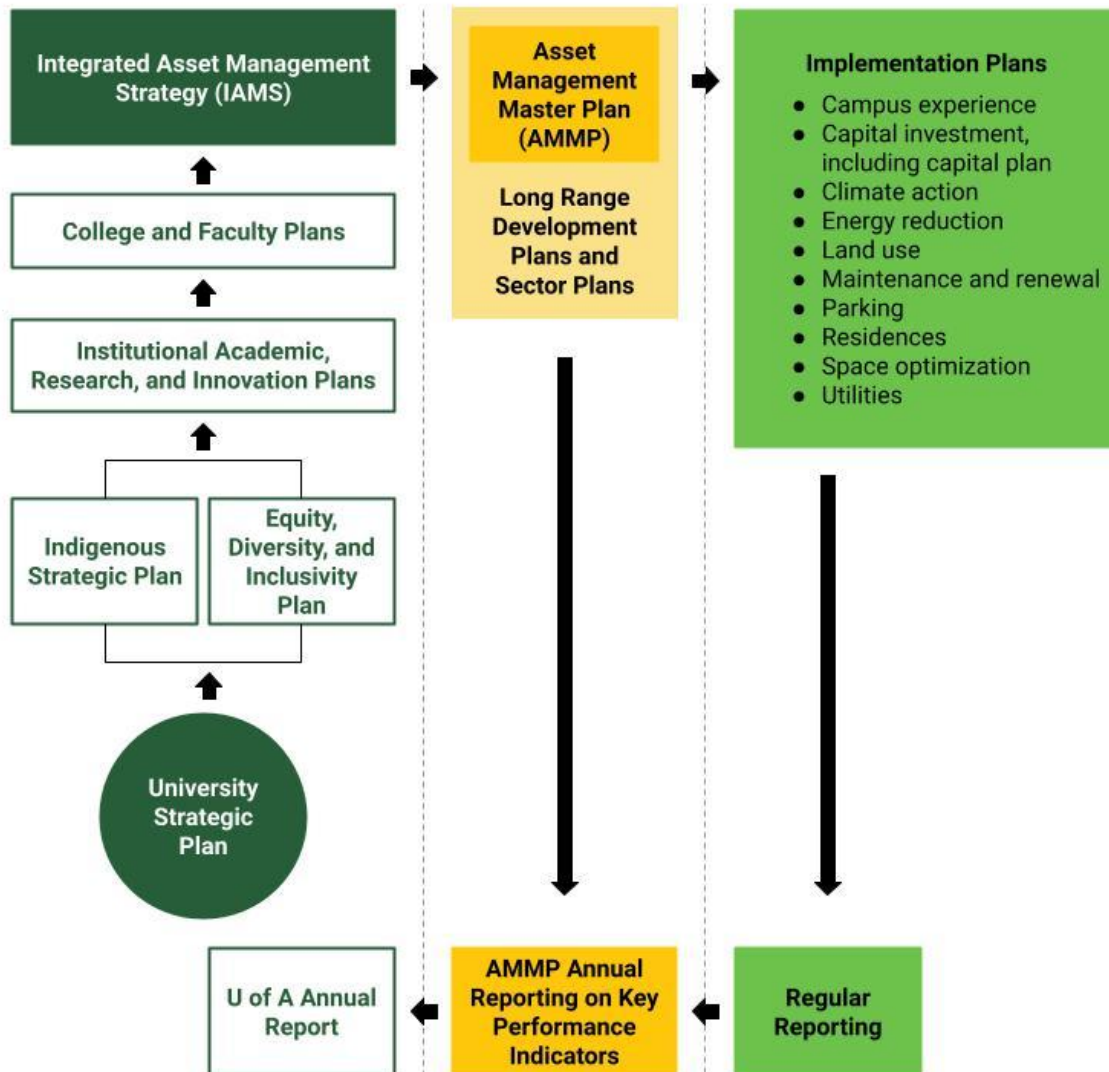
The University of Alberta is renowned for its leadership, achievements, and public service, ranking among the top universities in Canada. The institution also ranks amongst the highest in Canada for its volume and value of infrastructure assets. This large volume of infrastructure assets, while supportive of space needs for all faculty and students, is increasingly difficult to support, and requires the university to strategically consider the life cycle of all buildings and grounds. Accordingly, university infrastructure assets are managed in four life-cycle stages, which are highly interdependent: planning; creating and acquiring; operating and maintaining; and renewing or disposing.

The below visual is a simplified representation of the numerous interdependent plans that the University of Alberta uses to prioritize its decision-making with respect to infrastructure investments. At its core is the University of Alberta's strategic plan, *Shape as seen through the lenses of our commitments to diversity, equity, inclusion, and reconciliation outlined in *Braiding, Past, Present and Future, University of Alberta's Indigenous Strategic Plan* and in the *Strategic**

Plan for Equity, Diversity, and Inclusivity. There is also direction established in *Forward with Purpose: A Strategic Plan for Research and Innovation* which strategically guides the creation, operation, and financial sustainability of core and shared research infrastructure.

Subsequent infrastructure planning is guided by this Integrated Asset Management Strategy (IAMS) that reflects academic and research priorities as defined by the university's colleges and stand-alone faculties. The AMMP brings IAMS to life and is instrumental in developing implementation plans such as the university's annual capital plan, which, as legislated by the Government of Alberta, outlines requests for capital investment for the next three years.

Robust planning serves many needs, including: ensuring accessible space for learners, faculty, and staff; supporting utility needs of campuses; monitoring and maintaining capital assets; designing, renewing, building, and removing capital assets; ensuring ancillary supports and services are available and financially sustainable; and maintaining legislated long-range development plans. Regular reporting ensures progress and accountability.



Principles, Goals, and Actions

Principles set a foundation for a system of decision-making and actions. The subsequent goals guide all infrastructure decisions with corresponding actions to enable implementation. They have been validated by faculty leadership and students and reviewed and supported by both the General Faculties Council and the Board of Governors. The following principles, goals, and actions have a long-term lens in their application.

Principles

Student Success, Life Experience, Research, and Scholarship

1. Campus spaces foster positive student learning and living experiences.
2. Building assets contribute positively to teaching, research, service, and community impact.
3. Building environments, including staff space, reflect today's pedagogies.
4. Facilities are capable of supporting world-class research across multiple disciplines.

Asset Management

5. Buildings are continually evaluated to optimize space utilization and prioritize investments in life-cycle renewal and in maintenance.
6. Recognize the inherent uniqueness in an institution of higher learning, while maximizing system-wide functionality.
7. Social, economic, and environmental sustainability is advanced and achieved by:
 - Incorporating inclusive design principles into campus infrastructure (e.g. all-gender, barrier-free).
 - Reducing our ecological footprint.
 - Reducing operational costs.

Campus Character

8. Every building has a unique role and its strategic value in the institutional inventory is more than a mathematical computation.
9. Prioritizing the active transportation experience on all campuses.
10. Campus buildings and grounds are aesthetically coherent and maintained in a way that considers the community in which it resides.
11. Considerations for removing building inventory include a meaningful assessment of its historic value and placement in the university's architectural mosaic.

Decision-Making

12. Adhere to all government-mandated long range development plans, sector plans, urban planning principles, and building codes and regulations.
 13. Spending adheres to funding parameters and institutional priorities.
 14. Decisions are evidence-based and supported by openly available data related to building occupancy, functionality, performance, environmental considerations, and deferred maintenance.
-

Goals and Actions

Planning and Programming

- 1. Campus planning processes and outputs consider future events, innovation and risks.**

Campus planning processes are the convergence of many collaborative planning events to understand, anticipate, and design the campus and identify priorities of tomorrow including alignment with the academic mission; research priorities and needs; supporting students' academic, social and wellness aspects; community engagement; broader community impact; and considering the emergent future risks to a post-secondary institution.

- a. Maintain current Long Range Development Plans and Sector Plans to ensure they act as frameworks to support academic visions and student experiences.
- b. Demonstrate consistency in direction and decisions for campus planning that exemplifies best practices in smart growth, healthy community, and sustainable and inclusive design.
- c. Create more innovative approaches to the development of flexible and adaptable space to meet changing needs of users.

- 2. The University's infrastructure meets end-users' space needs while enabling a positive experience.**

Sound planning and implementation inspires excellence, contributes to a positive educational experience, overall productivity, researcher retention, and satisfaction of end users. Aligning programming, planning, and functional design principles within an academic and research delivery framework is crucial to the success of the user experience. Planning inputs and cycles

consider functional elements spanning the institution, including: academic and research plans, facility imperatives such as maintenance, and risk building profiles.

- a. Advance a consistent approach in optimizing space that aligns with space standards, and provides guidance on how space connects to the overall academic mission, contributes to the student experience, accessibility of key user groups, and unit cost impacts.
- b. Collaborate with colleges and faculties to ensure infrastructure decisions are best able to reflect academic planning outcomes in priority areas.

3. Stakeholders are appropriately informed and engaged when there are significant changes to buildings and spaces.

Based on the resource allocations in the planning and programming phase, ensure that stakeholder engagement, principle-based outcomes and alignment to effective stewardship principles are effectively considered and executed. This will occur in a transparent and responsible manner. Excellence in planning and execution are the cornerstones to both asset management and space utilization.

- a. Develop a consistent approach to communications and engagement prior to any significant change to infrastructure.
- b. Seek input from key stakeholders throughout key design implementation phases to ensure the multitude of institutional perspectives are acknowledged and decisions are founded in a common understanding of approved requirements, limitations, and/or compromises.
- c. Ensure compliance to institutional design and space standards as defined in university policy.

Creating and Acquiring

4. Space aspirations are aligned within a framework of established criteria.

At any given time, students, faculty, and staff will express a desire for new, expanded, or repurposed space. These requests will increasingly undergo a multitude of assessments to understand need, evaluate if stated requirements fall within a framework of established criteria, and seek assurance from leaders of the relevance and value of desired space needs.

- a. Provide guidance and direction to academic and business entities regarding space needs and seek endorsement of appropriate levels of leadership.

- b. Include an evaluation framework, capital and operating budget analysis, operational impact assessment, and consideration of alternatives in planning and design processes.
- c. Prioritize and validate projects requiring government financial support or involving additional funding partners.

Operating and Maintaining

5. Funding is strategically invested in maintenance programs and capital renewal efforts to better manage the university's deferred maintenance liability.

Operating and maintaining infrastructure can account for up to 90 per cent of the total cost of building ownership. As investments in university infrastructure provide incremental savings or instances of cost avoidance, those funds will be diverted to supporting other buildings. Members of the University of Alberta community individually and collectively contribute to how infrastructure is used and cared for.

- a. Enhance predictive and preventative maintenance programming to support improved efficiencies.
- b. Establish campus service standards and levels and actively manage and measure across all campuses.
- c. Develop marketing and awareness campaigns that emphasize the role each member of the university has in stewarding and maintaining its assets.
- d. Advance sustainable operations' practices to support sustainability and environmental targets.

Renewing or Disposing

6. The renewal, repurposing, and end-stage of assets or their components will inform decisions as part of an integrated process.

Optimizing capital and other infrastructure investments to improve their use with centralized asset management and tracking is fundamental. This integrated process reduces excess inventory with a clear understanding of actual needs; enables better decisions in renewal, repurposing, or replacement to avoid unnecessary expenditures; and facilitates the decommissioning and/or disposal of assets.

- a. Undergo a regular review of aligning all assets to the academic and research mission, considering prioritization criteria and guiding principles.

- b. Utilize financial, space, and academic modeling as part of the analytic framework to support choices of which buildings will (or will not) undergo change.

Strategic Enablers

7. A strong information and analytics platform supports evidence-based decision-making.

Robust, consistent, and transparent decisions can only be made when the information they are based on is complete, accurate, and integrated. In order to support improved management of infrastructure, potential investment decisions, or monitoring of performance against service levels, a strong data inventory and analytics framework is needed.

- a. Strengthen front line processes and information gathering to instill higher confidence in facilities' data.
- b. Complete technology and business needs assessments to identify integrated solutions that support business requirements.
- c. Build predictive modeling of key assets that consider multiple factors to the longevity and operational costs of assets.

8. Enhanced monitoring and reporting of progress ensures transparency and accountability.

This strategy provides a framework for the effective and efficient management of the institutions' assets. This is a living document which is relevant and integral to the daily asset management activities across the campuses.

- a. Refresh the strategy as necessary to reflect changing university imperatives.
- b. Conduct quality assurance audits to ensure the integrity and cost effectiveness of data collected.
- c. Use reporting mechanisms to report on progress and performance.

Infrastructure for Tomorrow

In many tangible ways, a university campus replicates a small city. In the case of the University of Alberta's North Campus, 160 buildings of varying use, age, and complexity are connected by a network of streets, sidewalks, and tunnels. While comprising fewer buildings, Campus Saint-Jean, Augustana, Enterprise Square, and South Campus also each form key elements of the university's rich infrastructure mosaic.

All decisions related to investing in campus infrastructure are naturally very long-term in nature and, in a world with limited resources, must be made prudently and with an eye clearly focused on the future. The future of world-class teaching and research. The future of memorable student experiences. A sustainable future.

Shape, A Strategic Plan of Impact, reminds us of the imperative for us to be at the forefront of educating a growing province with global ambitions. Key to this is having and maintaining university infrastructure - classrooms, labs, libraries, study spaces, and other spaces to enhance the student experience - that meet today's expectations without constraining tomorrow's ambitions. With the necessary support of willing partners, the University of Alberta's Integrated Asset Management Strategy will get us there.

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<p>Taking Care of our Campuses Integrated Asset Management Strategy</p>	<p>Taking Care of our Campuses Integrated Asset Management Strategy</p>	<p>No change</p>
<p>Territorial Acknowledgement</p> <p>The University of Alberta respectfully acknowledges that we are situated on Treaty 6 territory, traditional lands of First Nations and Métis people.</p>	<p><u>Territorial Acknowledgement</u></p> <p><u>The University of Alberta, its buildings, labs and research stations are primarily located on the territory of the Néhiyaw (Cree), Niitsitapi (Blackfoot), Métis, Nakoda (Stoney), Dene, Haudenosaunee (Iroquois) and Anishinaabe (Ojibway/Saulteaux), lands that are now known as part of Treaties 6, 7 and 8 and homeland of the Métis. The University of Alberta respects the sovereignty, lands, histories, languages, knowledge systems and cultures of all First Nations, Métis and Inuit nations.</u></p>	<p>Revised to match Shape.</p>
<p>Vice-President Facilities and Operations Message</p> <p>The University of Alberta’s Strategic Plan (2016-26), For the Public Good, defines the vision, goals, and specific targets that guide the institution’s focus and resources. For the Public Good sets the conditions to inspire the human spirit through outstanding achievements in learning, discovery, and citizenship in a creative community. A key objective is the importance of ensuring our campuses, facilities, and utilities meet the institution’s needs and goals. Facilities and Operations leads this work and is proud of what’s been accomplished to-date and of how its future planning will support decisions that align to learners’ and researchers’ needs.</p> <p>The University of Alberta is renowned for its leadership, achievements, and public service, ranking among the top universities in Canada. The institution also ranks amongst the highest in Canada for its volume and value of infrastructure assets. This large volume of assets, while supportive of space needs for all faculty and students, requires the university to strategically look at the life cycle of all buildings and grounds. This means: planning, creating and acquiring, operating and maintaining, and renewing or disposing. This on-going life cycle review of buildings and grounds facilitates continued excellence in supporting learning and research. The ways in which spaces are designed, used, and maintained are critical factors to the accessibility, effectiveness, and sustainability of assets. Facilities and Operations will continue to proactively and cost-effectively manage its assets, strengthening the learning and research foundations for students,</p>	<p><u>Vice-President Facilities and Operations Message</u></p> <p><u>UNDER DEVELOPMENT</u></p> <p><u>Andrew Sharman</u> <u>Vice-President Facilities and Operations</u></p>	<p>Moved some text to other sections.</p> <p>Message will be redrafted by Communications to:</p> <p>Add reference to Shape.</p> <p>Remove content more applicable to the Asset Management Master Plan (AMMP).</p>

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<p>faculty, staff, and community.</p> <p>The condition of buildings and physical support assets are assessed on a regular basis to ensure they will deliver the optimal value over every building’s lifespan and ensure the life, health, and safety of users.</p> <p>While some deferred maintenance may not present an immediate challenge, as the maintenance backlog grows, the risk of building failures (mechanical, electrical, building envelope) grows exponentially. This means the cost of maintenance continues to grow (including inflationary pressures and market escalation as the age of a facility increases and needed maintenance is not completed. With the aging facilities and the growing uncertainty of provincial operating and maintenance funding, the university’s deferred maintenance liability will continue to grow until a “tipping point” is reached. This may necessitate directing available funding to emergency or break down situations, versus maintaining the facilities.</p> <p>This Integrated Asset Management Strategy will look at better utilizing owned space, reducing reliance on leased space, appropriately renewing or disposing of buildings, and prioritizing where the university needs to invest its limited resources to address deferred maintenance liabilities. This all must occur while increasing a focus on preventive maintenance. Publicly funded infrastructure will be increasingly scrutinized to ensure renewal, repurposing, and optimization occurs in advance of any new construction. This continues to put pressure on all public organizations to better use and maintain their assets.</p> <p>This strategy is, simply put, a guide to ensure all aspects of managing the physical assets of the university are considered. This means optimizing the inventory of facilities that are key to the institution’s mandate and prioritizing that inventory based on critical, to necessary, to non-necessary.</p> <p>As the University of Alberta continues to change and evolve to continue meeting users’ needs, its infrastructure must be positioned to support these changing needs and demands, now and into the future. The Facilities and Operations team looks forward to meeting these needs and collaborating across the University of Alberta and with others to take care of our campuses.</p> <p>Andrew Sharman Vice-President Facilities and Operations</p>		

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<p>Why a Strategy</p> <p>The impact of the growing operational and maintenance challenges has created a perfect storm—increased demand and expectations coupled with aging inventory, limited funding, and uncertainty of funding in the future. Facilities and Operations has therefore engaged in a review of how the university manages its inventory, what funding can reasonably be expected versus what is needed, and how best to move forward while maintaining the desire to be a leading academic institution.</p> <p>This strategy sets the direction for the University of Alberta’s infrastructure assets, while defining a long-term roadmap. It describes the current state and the conditions that created some of the challenges currently being faced, while also identifying the future direction and actions to be taken. An important focus of this strategy is that all students, staff, faculty, visitors, and members of the community are stewards of the University of Alberta’s buildings and grounds and how each uses the institution today has a direct impact on its future state.</p> <p>This strategy also sets a collective mission, vision, principles, goals, and actions for future-proofing the University of Alberta’s infrastructure. It will help guide decisions to support the infrastructure needs of learners, faculty, staff, and community, while balancing the risks, opportunities, and fiscal environment in which the institution operates. This strategy is a living document that will be reviewed as part of annual planning processes.</p> <p>The development of the strategy occurred amongst Facilities and Operations staff with communication and feedback incorporated from stakeholders across the campuses. This strategy was approved by the University of Alberta’s Board of Governors and General Faculties Council in spring 2019 to ensure that collective feedback was considered and there was awareness of the actions that will lay ahead.</p>	<p>n/a</p>	<p>Removed content more applicable to AMMP.</p> <p>Amalgamated into a new Strategic Context section.</p>
<p>Strategic Context</p> <p>The university manages almost 1.73 million square metres in nearly 500 buildings across its five campuses. This is one of the largest volumes of buildings across the greatest land base of Canadian universities and over 60 percent of these buildings are over 40 years old. The widely recognized maintenance investment for post-secondary institutions is typically two per cent of the buildings’ replacement value and, when investments fall short of that target, maintenance is</p>	<p><u>Strategic Context</u></p> <p><u>Over the next 10 years, the university is sharply focused on delivering innovative, flexible learning and student experiences; reinforcing and enhancing our research, innovation and creative activities; and fulfilling our responsibility as a leader and convener to help shape and positively impact communities in Alberta, in Canada and worldwide.</u></p>	<p>Combined with Why a Strategy and Environmental Analysis section.</p> <p>Removed content more applicable to the AMMP.</p>

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<p>deferred. Deferred maintenance is essentially the difference between the optimal investment and the actual investment in maintenance and, in its simplest definition, is the maintenance that should have been done, but wasn't.</p> <p>There are a number of factors that contribute to the growth in deferred maintenance liability. One of the greatest factors was insufficient funding for preventive and deferred maintenance from government and the institution over the past many years. A second factor is the accelerated depreciation of some buildings and roadways, which is largely due to unsustainable construction practices in the 1950s that did not consider long-term maintenance needs, nor the impact of extreme changes in weather patterns. The DNA of all buildings going forward needs to be future-proofed against extreme and expensive maintenance and long-term renewal costs. Lastly, there has been an absence of data and analytics that identified current and forecasted future state of buildings to enable pro-active planning and strategic allocation of maintenance funding.</p> <p>The lifespan and ongoing functionality of infrastructure is affected by how it's used, looked after, the ways in which services and repairs are carried out, the prioritization for renewal, the current and future needs and expectations of users, and available funding. Impacts from sudden weather or temperature changes also impact buildings and grounds. All of these impacts make it important to ensure evidence drives decisions of how best to support continued infrastructure renewal and plan for long-term needs. For many years necessary maintenance work has been delayed indefinitely due to insufficient funding and, if this trajectory is not altered, the institution will face an increasing magnitude of disruptions to facilities and, consequently, the ability to support the academic and research objectives.</p> <p>Tackling maintenance backlogs, future-proofing infrastructure, and continuing good fiscal stewardship in times of economic constraint will require new ways of thinking and making decisions. This will mean difficult choices, optimizing existing infrastructure, improved coordination across campuses and with other partners, and better data and strategic analytics.</p> <p>The collective challenge is to balance expectations with the best use of limited resources while considering growth of assets versus ongoing maintenance. While there have been remarkable additions to the University's building inventory in the last decade, the priority across all campuses is now on the renewal and refurbishment of existing buildings with very limited consideration for facility expansion or new construction. A critical assumption is that, as facilities are</p>	<p><u>This includes developing campus environments to give our students rich, memorable and meaningful experiences, ensuring our high-impact researchers benefit from quality research spaces and supports, and delivering transformational opportunities where students can flourish through experiential learning, residence communities, athletics and recreation, creative activity, and volunteer opportunities. It also means creating more opportunities for students to experience education at Campus Saint-Jean and Augustana Campus and continuing to support access to our facilities, events and activities for the public.</u></p> <p><u>The university remains committed to incorporating Indigenous identities, languages, cultures and worldviews and achieving a more diverse, equitable, accessible and inclusive environment for all who work, learn and live within our community. This also includes providing safe and healthy work and study environments that enable high-quality education and research; leading through the prudent stewardship of resources; embracing opportunities to innovate to make things better; and working together, within and beyond the university and across traditional boundaries.</u></p> <p><u>Within this context, campus infrastructure must be capable of supporting growth and providing 21st century learning environments and accessible spaces. This strategy identifies the direction and actions to be taken to achieve that. An important focus is that all students, faculty, staff, visitors, and members of the community are stewards of the University of Alberta's buildings and grounds and how each uses the institution today directly impacts its future state.</u></p> <p><u>Most importantly, this strategy sets out principles, goals, and actions to guide decisions that support the infrastructure needs of learners, researchers, faculty, staff, and the community at large, while balancing the financial and reputational risks, opportunities, and fiscal environment in which the institution operates.</u></p> <p><u>The university manages almost 1.63 million square metres in 411 buildings across its campuses and research facilities. This is one of the largest volumes of buildings across the greatest land base of Canadian universities and over 60 percent of these buildings are over 40 years old.</u></p> <p><u>The lifespan and ongoing functionality of infrastructure is affected by how it</u></p>	<p>Added content from Shape.</p> <p>Added reference to an AMMP.</p> <p>Added some text from Vice-President's message and Environmental Analysis sections.</p> <p>Language and wording updates.</p>


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<p>considered for disposal or removed from the infrastructure inventory, the associated funding is retained and directed towards maintaining, upgrading, and operating the remaining key assets.</p> <p>By prioritizing the inventory, a natural process for determining the allocation of available funding can be developed. This means that some facilities will receive more funding (to get them up to the desired standard); some may receive the same (given their condition and usage); some may receive less (due to lower priority/end of life cycle); and some may not receive funding at all. For those facilities identified as needing less or no funding, additional work is necessary to increase awareness of these decisions to relevant stakeholders/users. In some instances, this leads to consideration for the disposition of those facilities and the impact on programs. Where the university's facility assets cannot meet the criteria necessary to justify retention and/or upgrading, then alternatives need to be considered.</p>	<p><u>was constructed, how it was maintained, and how it has been treated by its users. Impacts from sudden weather or temperature changes also impact buildings and grounds. Because limited funding needs to be stretched as far as possible, it is important to ensure evidence drives all infrastructure decision-making. For too many years necessary maintenance and renewal activities have been delayed due to insufficient funding and, if this trajectory is not altered, the institution will face an increasing magnitude of disruptions to facilities and, consequently, the ability to support its academic and research objectives.</u></p> <p><u>Tackling deferred maintenance, future-proofing infrastructure, and continuing sound fiscal stewardship in times of fiscal constraint will require new ways of thinking and decision-making. Even though better data and strategic analytics will inform decisions and improved coordination across campuses and with other partners will reduce concern, optimizing campus infrastructure will require some difficult choices to be made.</u></p> <p><u>The priority across all campuses is on the renewal and refurbishment of existing buildings with very limited consideration for facility expansion or new construction. As facilities are considered for disposal or removed from our infrastructure inventory, the associated operating resources will be retained and directed towards maintaining, renewing, and operating the remaining assets.</u></p> <p><u>By prioritizing our building inventory, a natural process for determining the allocation of available investment can be developed. In practice this means that a building that is nearing end-of-life and not capable of being reasonably renewed to meet teaching and research expectations will be identified for decommissioning and, as such, will receive only critical maintenance investments. For those buildings, efforts to increase awareness of these decisions are needed. Repurposing and/or removing any infrastructure from an institution with over a 100-year history will require discussion to understand concerns and areas of potential resistance. These collaborative discussions and ultimate choices embody sound asset management practices grounded in principles.</u></p> <p><u>The University of Alberta is not unique in facing a challenge of growing costs for managing infrastructure that exceed available resources, while balancing on-going and changing space needs, changing expectations of users, and</u></p>	

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	<p><u>increased innovation in building design and delivery. This is a challenge of many post-secondary institutions and public organizations world-wide. What will be unique is how the university is strategic in its use of analytics, the disciplined choices it will make to meet the growing needs and expectations for space, and its decisions in managing these costs. Simply stated, decisions related to identifying buildings for renewal, repurposing, closure, disposal, and even demolition will be driven by the evidence of today with projections of tomorrow. They will also look at partnerships and collaborative opportunities in infrastructure design, operations, maintenance, and funding.</u></p> <p><u>While this strategy provides an overarching direction, an accompanying Asset Management Master Plan (AMMP) is the university's single master plan for infrastructure utilization (including undeveloped lands), space optimization, and investment prioritization. The plan presents a long-term view of our campus infrastructure and the path to get there and highlights evidence-based decision-making to optimize the university's infrastructure portfolio. By using a robust framework for assessing where infrastructure investments return the greatest value to the institution, we will be better able to manage risk and legislative/code compliance; effectively engage and communicate decisions to stakeholders; lower building lifecycle costs; and improve financial and environmental sustainability. The AMMP makes a clear connection between the university's broad-based strategic objectives and a picture of what the university's infrastructure could look like over the next 20 years if investment is available.</u></p>	
<p>Vision</p> <p>Provide the foundation that enables the university community to excel.</p>	<p>Vision</p> <p>Provide the foundation that enables the university community to excel.</p>	<p>Redundant to university vision.</p>
<p>Mission</p> <p>That the University of Alberta has superior stewardship of all its infrastructure across the five campuses, while cultivating the best possible environment for learning, teaching and research now and into the future.</p>	<p>Mission</p> <p>That the University of Alberta has superior stewardship of all its infrastructure across the five campuses, while cultivating the best possible environment for learning, teaching and research now and into the future.</p>	<p>Redundant to university mission.</p>
<p>Planning Cycle</p> <p>The below visual (Figure 1) is a simplified representation of the numerous</p>	<p><u>Infrastructure Planning and Reporting at the U of A</u></p> <p><u>The University of Alberta is renowned for its leadership, achievements, and</u></p>	<p>Removed content more applicable to the AMMP.</p>

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<p>interdependent plans that the University of Alberta uses to achieve its vision, mission, and outcomes, while shaping and stewarding its direction. Embedded as the core, is the University of Alberta’s overarching Strategic Plan, For the Public Good. The cascade of planning then starts with academic and research plans through to administrative business plans such as the university’s Capital Plan, which is a legislated document required by the Government of Alberta, through to the annual Comprehensive Institutional Plan and department plans.</p> <p>The Capital Plan is informed by other Facilities and Operations’ related information, such as: consultation across campuses, long range development plans, resource plans, space utilization data, and prioritization processes. This work aligns and works together to serve many needs, including: ensuring accessible space for learners, faculty, and staff; supporting utility needs of campuses; monitoring and maintaining assets; designing, renewing, building, and removing capital assets; ensuring ancillary supports and services are available; and maintaining legislated long-range development plans.</p> <p>This strategy supports and guides the annual Capital Plan. It helps build and strengthen the right foundations to strategically respond to the academic and research missions, while considering the needs of users and the fiscal realities.</p> <p>Figure 1: Planning landscape at the University of Alberta</p> 	<p><u>public service, ranking among the top universities in Canada. The institution also ranks amongst the highest in Canada for its volume and value of infrastructure assets. This large volume of infrastructure assets, while supportive of space needs for all faculty and students, is increasingly difficult to support, and requires the university to strategically consider the life cycle of all buildings and grounds. Accordingly, university infrastructure assets are managed in four life-cycle stages, which are highly interdependent: planning; creating and acquiring; operating and maintaining; and renewing or disposing.</u></p> <p><u>The below visual is a simplified representation of the numerous interdependent plans that the University of Alberta uses to prioritize its decision-making with respect to infrastructure investments. At its core is the University of Alberta’s strategic plan, Shape as seen through the lenses of our commitments to diversity, equity, inclusion, and reconciliation outlined in Braiding, Past, Present and Future, University of Alberta’s Indigenous Strategic Plan and in the Strategic Plan for Equity, Diversity, and Inclusivity. There is also direction established in Forward with Purpose: A Strategic Plan for Research and Innovation which strategically guides the creation, operation, and financial sustainability of core and shared research infrastructure.</u></p> <p><u>Subsequent infrastructure planning is guided by this Integrated Asset Management Strategy (IAMS) that reflects academic and research priorities as defined by the university’s colleges and stand-alone faculties. The AMMP brings IAMS to life and is instrumental in developing implementation plans such as the university’s annual capital plan, which, as legislated by the Government of Alberta, outlines requests for capital investment for the next three years.</u></p> <p><u>Robust planning serves many needs, including: ensuring accessible space for learners, faculty, and staff; supporting utility needs of campuses; monitoring and maintaining capital assets; designing, renewing, building, and removing capital assets; ensuring ancillary supports and services are available and financially sustainable; and maintaining legislated long-range development plans. Regular reporting ensures progress and accountability.</u></p> <p><u>New Graphic</u></p>	<p>Added reference to Shape.</p> <p>Added reference to an AMMP.</p> <p>Added some text from Vice-President’s message.</p> <p>Added an updated infrastructure planning and reporting graphic.</p> <p>Language and wording updates.</p>
Environmental Analysis	n/a	Combined with Strategic

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<p>The University of Alberta is not unique in facing a challenge of growing costs for infrastructure maintenance that exceed available resources, while balancing on-going and changing space needs, changing expectations of users, and increased innovation in building design and delivery. This is a challenge of many post-secondary institutions and public organizations world-wide. What will be unique is how the University is strategic in its use of analytics, the disciplined choices it will make to meet the growing needs and expectations for space, and its decisions in managing these costs. The on-going choices will include: identifying assets for renewal, repurposing, closure, disposal, and even demolition. The choices will be driven by evidence of today with projections of tomorrow. They will also look at partnerships and collaborative opportunities in infrastructure design, operations, maintenance, and funding.</p> <p>Maintenance is considered any activity that seeks to maintain the desired operating condition of an asset. Keeping up with maintenance ensures reliable and safe building occupancy for users. There are five types of maintenance, including: 1) emergency and reactive maintenance that is typically unplanned and urgent; 2) supportive maintenance that supports program and research equipment; 3) corrective maintenance that seeks to resolve chronic failures through performing major repairs or replacement of assets; 4) preventive and predictive maintenance that seeks to resolve maintenance issues before they arise as well as regular maintenance requirements; and 5) deferred maintenance that is required but deferred to future years. The accrual of deferred maintenance increases the risk and liability to the institution and is a large focus of this strategy.</p> <p>The current asset replacement value of the supported and unsupported buildings is nearly \$7.25 billion¹. As of 2018, the University of Alberta's deferred maintenance liability for these buildings was nearly \$353 million¹, with only \$34.9 million² currently provided as an annual Infrastructure Maintenance Program (IMP) grant for the supported buildings by the Government of Alberta. The University's buildings, roadways and grounds, whether for learning and research, student services, offices or storage, incur significant capital and recurring operating and maintenance costs and are amongst the highest of the direct operating costs of the institution. If this current rate of growth of on-going maintenance and deferred maintenance liability continues, deferred maintenance liability could reach \$1 billion by 2027 (See Figure 2).</p> <p>In order to effectively manage risks associated with this liability, it is critical to</p>		<p>Context section.</p> <p>Removed content more applicable to the AMMP.</p>

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<p>strategically invest funding. Extensive research across North America suggests that the annual average maintenance investment in facilities should represent approximately two per cent of the replacement value. This can vary from less than two per cent to around five per cent for complex and/or sophisticated buildings (laboratories, research, and other specialized facilities). This would typically have meant a minimum of \$145 million per year (two per cent of \$7.25 billion of the current replacement value) dedicated to maintenance to avoid an accumulation of deferred maintenance for all buildings and roadways. The impact of not having an appropriate threshold of maintenance funding for infrastructure has resulted in the current deferred maintenance liability and its rapid upward trend.</p> <p>Facility maintenance is a continuum made up operational (day to day), major maintenance (building systems and components), and major upgrade/modernization. The University is funded by the Government of Alberta through a variety of sources: operational through lights-on funding (allocated as part of our base funding allocation), major maintenance through capital maintenance and renewal (IMP) funding, and major upgrade/modernization funding which is provided on a project-by-project approval basis. Other sources of maintenance funding can be directed from internal sources such as partner funding from faculties or centrally by the university. The University contributed its first funding of \$1 million in 2019-20 to address deferred maintenance with an aspiration for that amount to increase over time.</p> <p>Difficult choices lie ahead and repurposing and/or removing any infrastructure from such a monumental institution with over a 100-year history will require debate and discussion to understand concerns and areas of potential resistance. These collaborative discussions and ultimate choices are good asset management practices grounded in principles.</p> <p>The principles have been discussed in early 2019 with the Board of Governors, the General Faculties Council, the university's executive and faculty leadership, and students. The principles emphasize: 1) student life experience, research and scholarship; 2) asset management; 3) campus character; and 4) decision-making.</p> <p>Figure 2 provides examples of the types of choices that will be informed by an asset management strategy. This figure forecasts six scenarios based on varying levels of financial commitment from the Government of Alberta and the University of Alberta to mitigate the deferred maintenance liability coupled with removing building assets that have either exceeded their life expectancy, their cost to</p>		

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<p>maintain is larger than the value of the buildings, and/or they no longer meet users' needs in design or operation. While these are only examples, they illustrate the disciplined choices necessary over the years ahead requiring deep engagement across the institution and tight alignment to the institution's academic and research needs.</p> <p>Figure 2: Deferred maintenance liability scenarios for supported, unsupported and mixed buildings</p> <p>The data presented in Figure 2 are the best available at this time, but do not include the maintenance needs of the newer and more complex buildings on campus³. It is likely that when this information becomes available and integrated into our information systems, the forecasted liabilities will be significantly higher.</p> <p>Greater than 50% of the University of Alberta's individual buildings were built in the post-war (1951-75) or modern (1976-90) eras. These eras were known to have unsustainable construction processes with an original intent that lesser construction quality would be offset by sufficient maintenance funding that would mitigate deficiencies. These buildings have a 50–60 year life cycle, ending now (Figure 3). Many of the critical systems in these buildings are at or near the end of their life and their failures would impair the delivery of the institution's academic mission if preservation funding or increased maintenance dollars are not available.</p> <p>The choices the University makes will need to bend the trend of expenditure growth in our deferred maintenance liability. While the adjacent visuals display the number and volume of buildings at different ages and areas, the impact of the more modern and complex buildings will be significant (Figure 4). This second wave of impact of maintenance needs requires the planning and financial policies to be established now in order to best mitigate the future consequences.</p> <p>Figure 3: Building Distribution Based on Age Figure 4: Bow Wave of Deferred Maintenance Liability</p>		
<p>Principles</p> <p>Principles set a foundation for a system of decision-making and actions. The below principles are guiding the asset management decisions that will be made in the short and long term. They have been reviewed and supported by both the General Faculties Council and Board of Governors, as well as leadership tables</p>	<p>Principles, <u>Goals, and Actions</u></p> <p>Principles set a foundation for a system of decision-making and actions. The <u>subsequent goals guide all infrastructure decisions with corresponding actions to enable implementation. below principles are guiding the asset management decisions that will be made in the short and long term.</u> They have been</p>	<p>Combined with Goals and Actions section.</p> <p>Removed content more appropriately included in the AMMP.</p>

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such as President’s Executive Committee. The fourteen principles are intended to have a long term lens in their application.	<u>validated by faculty leadership and students and</u> reviewed and supported by both the General Faculties Council and <u>the</u> Board of Governors, as well as leadership tables such as President’s Executive Committee. The <u>following fourteen</u> principles, <u>goals, and actions</u> are intended to have a long term lens in their application.	
<p>Student Success, Life Experience, Research and Scholarship</p> <p>1.Campus spaces foster positive student learning and living experiences.</p> <p>2.Building assets that positively contribute to teaching, research and service.</p> <p>3.We endeavour to provide modern environments, including staff space, reflective of today’s pedagogies.</p> <p>4.Facilities are capable of supporting world-class research across multiple disciplines.</p>	<p>Student Success, Life Experience, Research and Scholarship</p> <p>1.Campus spaces foster positive student learning and living experiences.</p> <p>2.Building assets that positively contribute to teaching, research, <u>service,</u> and <u>community impact</u>service.</p> <p>3.We endeavour to provide modern <u>Building</u> environments, including staff space, reflective of today’s pedagogies.</p> <p>4.Facilities are capable of supporting world-class research across multiple disciplines.</p>	<p>Language/grammar edits.</p> <p>Added link to content in Shape.</p>
<p>Asset Management</p> <p>5.Buildings are continually evaluated to prioritize investments in capital (renewal, expansion, new construction); in maintenance (preventative, current and deferred); and obsolescence.</p> <p>6.Recognizing the inherent uniqueness in an institution of higher learning, while maximizing system-wide functionality.</p> <p>7.Social, economic and environmental sustainability is achieved by:</p> <ul style="list-style-type: none"> ● Incorporating inclusive design principles into campus infrastructure (e.g. all-gender, barrier-free). ● Reducing our ecological footprint. ● Reducing operational costs. ● Continually advancing the three pillars of sustainability: social, economic and environmental. 	<p>Asset Management</p> <p>5.Buildings are continually evaluated to <u>optimize space utilization and</u> prioritize investments in <u>life-cycle renewal and in maintenance.</u> capital (renewal, expansion, new construction); in maintenance (preventative, current and deferred); and obsolescence.</p> <p>6.<u>Recognize</u>ing the inherent uniqueness in an institution of higher learning, while maximizing system-wide functionality.</p> <p>7.Social, economic and environmental sustainability is <u>advanced and</u> achieved by:</p> <ul style="list-style-type: none"> ● Incorporating inclusive design principles into campus infrastructure (e.g. all-gender, barrier-free). ● Reducing our ecological footprint. ● Reducing operational costs. ● Continually advancing the three pillars of sustainability: social, economic and environmental. 	<p>Added reference to space optimization.</p> <p>Language/grammar edits.</p>
Campus Character	Campus Character	Language/grammar edits.

University of Alberta - Integrated Asset Management Strategy (IAMS) **REDLINE**

IAMS 2019	IAMS 2023	Comments
<p>8. Every building has a unique role and its strategic value in the institutional inventory is more than a mathematical computation.</p> <p>9. Fostering the active transportation experience is seen to be a priority on all campuses.</p> <p>10. Campus buildings and grounds will be aesthetically coherent and maintained in a way that considers the community in which it resides.</p> <p>11. Considerations for removing building inventory will include a meaningful assessment of its historic value and placement in the university's architectural mosaic.</p>	<p>8. Every building has a unique role and its strategic value in the institutional inventory is more than a mathematical computation.</p> <p>9. Prioritizing Fostering the active transportation experience is seen to be a priority on all campuses.</p> <p>10. Campus buildings and grounds are will be aesthetically coherent and maintained in a way that considers the community in which it resides.</p> <p>11. Considerations for removing building inventory will include a meaningful assessment of its historic value and placement in the university's architectural mosaic.</p>	
<p>Decision-Making</p> <p>12. Adhere to all government-mandated long range development plans, sector plans, urban planning principles, and building codes and regulations.</p> <p>13. Spending must adhere to government guided parameters:</p> <ul style="list-style-type: none"> ● "Lights-on" (Base) funding: the portion of the Campus Alberta Grant that is used to cover building operating costs (e.g. utilities, janitorial, maintenance, insurance, etc.). ● Infrastructure Maintenance Program (IMP): a variable annual allocation intended to address deferred maintenance on base building systems. ● Capital grants: funds received in order to achieve a specific building project. <p>14. Decisions are evidence-based and supported by openly available data related to building occupancy, functionality, performance, environmental considerations, and deferred maintenance.</p> <ul style="list-style-type: none"> ● Supported by the CIP, we strive to have a "data-driven approach to maintaining, renovating and repurposing existing spaces on campus." ● In order to support modern learning environments we need to have the ability to sustain building infrastructure. 	<p>Decision-Making</p> <p>12. Adhere to all government-mandated long range development plans, sector plans, urban planning principles, and building codes and regulations.</p> <p>13. Spending must <u>adheres to funding parameters and institutional priorities.</u> government guided parameters:</p> <ul style="list-style-type: none"> ● "Lights-on" (Base) funding: the portion of the Campus Alberta Grant that is used to cover building operating costs (e.g. utilities, janitorial, maintenance, insurance, etc.). ● Infrastructure Maintenance Program (IMP): a variable annual allocation intended to address deferred maintenance on base building systems. ● Capital grants: funds received in order to achieve a specific building project. <p>14. Decisions are evidence-based and supported by openly available data related to building occupancy, functionality, performance, environmental considerations, and deferred maintenance.</p> <ul style="list-style-type: none"> ● Supported by the CIP, we strive to have a "data-driven approach to maintaining, renovating and repurposing existing spaces on campus." ● In order to support modern learning environments we need to have the ability to sustain building infrastructure. 	<p>Language/grammar edits.</p> <p>Removed content more appropriately included in the AMMP.</p>
Goals and Actions	Goals and Actions	Combined with Principles

University of Alberta - Integrated Asset Management Strategy (IAMS) **REDLINE**

IAMS 2019	IAMS 2023	Comments
<p>There are four stages, illustrated below, of the life cycle of assets (Figure 5). They are highly interdependent, suggesting the rigour and quality of each stage impacts the subsequent stages. These align with the aforementioned principles and each has specific goals and actions that will be monitored and reported as part of regular operations within Facilities and Operations. This regular reporting will include performance indicators, best practice targets, and on-going review and risk analyses.</p> <p>Figure 5: Asset Management Life Cycle</p>	<p>There are four stages, illustrated below, of the life cycle of assets (Figure 5). They are highly interdependent, suggesting the rigour and quality of each stage impacts the subsequent stages. These align with the aforementioned principles and each has specific goals and actions that will be monitored and reported as part of regular operations within Facilities and Operations. This regular reporting will include performance indicators, best practice targets, and on-going review and risk analyses.</p> <p><u>Figure 5: Asset Management Life Cycle</u></p>	<p>section.</p> <p>Removed content more applicable to the AMMP.</p> <p>Figure 5 moved to new Infrastructure Planning and Reporting at the U of A section.</p>
<p>Planning and Programming</p> <p>1. Strengthen campus planning processes and outputs to consider future events, innovation and risks.</p> <p>Campus long range development planning processes are the convergence of many collaborative planning events to understand, anticipate, and design the campus and identify priorities of tomorrow including alignment with the academic mission; research priorities and needs; supporting students' academic, social and wellness aspects; and considering the emergent future risks to a post-secondary institution.</p> <ul style="list-style-type: none"> A. Maintain current Long Range Development Plans and Sector Plans⁴ to ensure they act as frameworks to support academic visions and student experiences. B. Demonstrate consistency in direction and decisions for campus planning that exemplifies best practices in smart growth, healthy community and sustainable design. C. Create more innovative approaches to the development of flexible and adaptable space to meet changing needs of users. <p>2. The University's infrastructure will meet end-users' space needs while enabling a positive experience.</p> <p>Planning inputs and cycles are interdependent with many functional inputs across the institution, including: academic, research, operational, risk, equipment maintenance, deferred maintenance, and capital disposal. Sound planning and implementation inspires excellence, significantly impacts educational progress,</p>	<p>Planning and Programming</p> <p>1. Strengthen cCampus planning processes and outputs to consider future events, innovation and risks.</p> <p>Campus long range development planning processes are the convergence of many collaborative planning events to understand, anticipate, and design the campus and identify priorities of tomorrow including alignment with the academic mission; research priorities and needs; supporting students' academic, social and wellness aspects; <u>community engagement; broader community impact;</u> and considering the emergent future risks to a post-secondary institution.</p> <ul style="list-style-type: none"> A. Maintain current Long Range Development Plans and Sector Plans⁴ to ensure they act as frameworks to support academic visions and student experiences. B. Demonstrate consistency in direction and decisions for campus planning that exemplifies best practices in smart growth, healthy community, and sustainable <u>and inclusive</u> design. C. Create more innovative approaches to the development of flexible and adaptable space to meet changing needs of users. <p>2. The University's infrastructure will meets end-users' space needs while enabling a positive experience.</p> <p><u>Sound planning and implementation inspires excellence, contributes to a positive educational experience, overall productivity, researcher retention, and satisfaction of end users. Aligning programming, planning, and functional</u></p>	<p>Language/grammar edits.</p>

University of Alberta - Integrated Asset Management Strategy (IAMS) **REDLINE**

IAMS 2019	IAMS 2023	Comments
<p>overall productivity, researcher retention, and satisfaction of end users. Aligning programming, planning, and functional design principles within an academic and research delivery framework is crucial to the success of the user experience.</p> <p>It is a pathway that is deliberate and guided by many tangible and intangible factors and phases. The formalization from idea to a hard asset is founded in life cycle and deeply connected to a strong stewardship mandate. Over the course of a normal life cycle span, approximately only one tenth of an asset's cost is related to its initial capitalization phase and, as such, the relevance of life cycle assessments is fundamentally important in determining and making decisions to construct, lease, or acquire new assets.</p> <ul style="list-style-type: none"> A. Advance a consistent approach in optimizing space that aligns with space standards, and provides guidance on how space connects to the overall academic mission, accessibility of key user groups, and unit cost impacts. B. Collaborate with faculties to ensure completion of General Space Programming (GSP) and Functional Programming (FP) to affect academic planning outcomes in priority areas. <p>3. Stakeholders are appropriately informed and engaged when there are significant changes to assets.</p> <p>Based on the resource allocations in the planning and programming phase, ensure that stakeholder engagement, principle-based outcomes and alignment to effective stewardship principles are effectively considered and executed. This will occur in a transparent and responsible manner. Excellence in planning and execution are the cornerstones to both asset management and space utilization.</p> <ul style="list-style-type: none"> A. Develop a consistent approach to communications and engagement prior to any significant change to infrastructure. B. Throughout key design implementation phases, input is sought from stakeholders to ensure the multitude of institutional perspectives are acknowledged and decisions are founded in a common understanding of approved requirements, limitations, and/or compromises. C. Ensure compliance to institutional design and operational standards as part of the Board of Governors space policy. 	<p>design principles within an academic and research delivery framework is crucial to the success of the user experience. Planning inputs and cycles consider are interdependent with many functional elements spanning inputs across the institution, including: academic and research plans, research, facility imperatives such as maintenance, and building risk profiles, operational, risk, equipment maintenance, deferred maintenance, and capital disposal. Sound planning and implementation inspires excellence, significantly impacts educational progress, overall productivity, researcher retention, and satisfaction of end users. Aligning programming, planning, and functional design principles within an academic and research delivery framework is crucial to the success of the user experience.</p> <p>It is a pathway that is deliberate and guided by many tangible and intangible factors and phases. The formalization from idea to a hard asset is founded in life cycle and deeply connected to a strong stewardship mandate. Over the course of a normal life cycle span, approximately only one tenth of an asset's cost is related to its initial capitalization phase and, as such, the relevance of life cycle assessments is fundamentally important in determining and making decisions to construct, lease, or acquire new assets.</p> <ul style="list-style-type: none"> A. Advance a consistent approach in optimizing space that aligns with space standards, and provides guidance on how space connects to the overall academic mission, <u>contributes to the student experience</u>, accessibility of key user groups, and unit cost impacts. B. Collaborate with <u>colleges and</u> faculties to ensure <u>infrastructure decisions are best able to reflect completion of General Space Programming (GSP) and Functional Programming (FP) to affect</u> academic planning outcomes in priority areas. <p>3. Stakeholders are appropriately informed and engaged when there are significant changes to <u>buildings and spaces</u> assets.</p> <p>Based on the resource allocations in the planning and programming phase, ensure that stakeholder engagement, principle-based outcomes and alignment to effective stewardship principles are effectively considered and executed. This will occur in a transparent and responsible manner. Excellence in planning and execution are the cornerstones to both asset management and space utilization.</p>	

University of Alberta - Integrated Asset Management Strategy (IAMS) **REDLINE**

IAMS 2019	IAMS 2023	Comments
	<ul style="list-style-type: none"> A. Develop a consistent approach to communications and engagement prior to any significant change to infrastructure. B. Seek input from key stakeholders Throughout key design implementation phases, input is sought from stakeholders to ensure the multitude of institutional perspectives are acknowledged and decisions are founded in a common understanding of approved requirements, limitations, and/or compromises. C. Ensure compliance to institutional design and space operational standards as defined in university part of the Board of Governors space-policy. 	
<p>Creating and Acquiring</p> <p>4. Evaluate space aspirations to align within a framework of established criteria.</p> <p>At any given time, students, faculty, and staff will express a desire for new, expanded, or repurposed space. These requests will increasingly undergo a multitude of assessments to understand need, evaluate if stated requirements fall within a framework of established criteria, and seek assurance from leaders of the relevance and value of desired space needs.</p> <ul style="list-style-type: none"> A. Facilities and Operations will provide guidance and direction to academic and business entities regarding space needs and seek endorsement of appropriate levels of leadership. B. Formal planning and design will include an evaluation framework; capital and operating budget analysis; operational impact assessment; and consideration of alternatives (renewal, lease, rebuild). Space need options will be formalized and submitted to appropriate levels of leadership for input and decision. C. Projects requiring government financial support will be prioritized, benchmarked, and submitted for consideration within the BLIMS and/or federal government submission processes. 	<p>Creating and Acquiring</p> <p>4. Evaluate sSpace aspirations are to aligned within a framework of established criteria.</p> <p>At any given time, students, faculty, and staff will express a desire for new, expanded, or repurposed space. These requests will increasingly undergo a multitude of assessments to understand need, evaluate if stated requirements fall within a framework of established criteria, and seek assurance from leaders of the relevance and value of desired space needs.</p> <ul style="list-style-type: none"> A. Facilities and Operations will pProvide guidance and direction to academic and business entities regarding space needs and seek endorsement of appropriate levels of leadership. B. Formal planning and design will iInclude an evaluation framework,; capital and operating budget analysis,; operational impact assessment,; and consideration of alternatives in planning and design processes. (renewal, lease, rebuild). Space need options will be formalized and submitted to appropriate levels of leadership for input and decision. C. Prioritize and validate Pprojects requiring government financial support or involving additional funding partners. will be prioritized, benchmarked, and submitted for consideration within the BLIMS and/or federal government submission processes. 	<p>Language/grammar edits.</p>
<p>Operating and Maintaining</p> <p>5. Optimize operations to strategically re-invest funding to maintenance programs</p>	<p>Operating and Maintaining</p> <p>5. Funding is Optimize operations to strategically invested in re-invest funding</p>	<p>Language/grammar edits.</p>

University of Alberta - Integrated Asset Management Strategy (IAMS) **REDLINE**

IAMS 2019	IAMS 2023	Comments
<p>and/or capital renewal efforts to better manage the growing deferred maintenance liability.</p> <p>Operating and maintaining assets can account for up to 90 per cent of the total cost of building ownership and is comprised: support and maintenance such as administration costs (insurance, security, etc.); routine maintenance and minor repairs; custodial services; fire protection services; pest control; snow removal; grounds care; environmental operations; and utility charges (electric, gas, water). All members of the University of Alberta community can individually and collectively help meet and potentially extend the life cycle of infrastructure through understanding and adapting behaviours in how assets are used and cared for.</p> <ul style="list-style-type: none"> A. Enhance preventive and predictive maintenance programming to support improved efficiencies. B. Establish campus service standards and levels and actively manage and measure across all campuses. C. Develop marketing and awareness campaigns that emphasize the role each member of the university has in stewarding and maintaining its assets. D. Advance sustainable operations' practices to support sustainability and environmental targets. 	<p>to-maintenance programs and/or capital renewal efforts to better manage the growing<u>university's</u> deferred maintenance liability.</p> <p>Operating and maintaining <u>infrastructure assets</u> can account for up to 90 per cent of the total cost of building ownership. and is comprised: support and maintenance such as administration costs (insurance, security, etc.); routine maintenance and minor repairs; custodial services; fire protection services; pest control; snow removal; grounds care; environmental operations; and utility charges (electric, gas, water). <u>As investments in university infrastructure provide incremental savings or instances of cost avoidance, those funds will be diverted to supporting other buildings.</u> All mMembers of the University of Alberta community can individually and collectively <u>contribute to how infrastructure is help</u> meet and potentially extend the life cycle of infrastructure through understanding and adapting behaviours in how assets are used and cared for.</p> <ul style="list-style-type: none"> A. Enhance <u>predictive and</u> preventive and predictive maintenance programming to support improved efficiencies. B. Establish campus service standards and levels and actively manage and measure across all campuses. C. Develop marketing and awareness campaigns that emphasize the role each member of the university has in stewarding and maintaining its assets. D. Advance sustainable operations' practices to support sustainability and environmental targets. 	
<p>Renewing and Disposing</p> <p>6.The renewal, repurposing and end-stage of assets or their components will inform decisions as part of an integrated process.</p> <p>Facilities and Operations will lead the optimization of capital and other asset investments to improve their use with centralized asset management and tracking. This integrated process reduces excess inventory with a clear understanding of actual needs; enables better decisions in renewal, repurposing, or replacement to avoid unnecessary expenditures; and facilitates the decommissioning and/or disposal of assets.</p> <ul style="list-style-type: none"> A. Undergo a regular review of aligning all assets to the academic and 	<p>Renewing and Disposing</p> <p>6.The renewal, repurposing, and end-stage of assets or their components will inform decisions as part of an integrated process.</p> <p>Facilities and Operations will lead the o<u>Optimizing ation of</u> capital and other infrastructure asset investments to improve their use with centralized asset management and tracking <u>is fundamental</u>. This integrated process reduces excess inventory with a clear understanding of actual needs; enables better decisions in renewal, repurposing, or replacement to avoid unnecessary expenditures; and facilitates the decommissioning and/or disposal of assets.</p> <ul style="list-style-type: none"> A. Undergo a regular review of aligning all assets to the academic and 	<p>Language/grammar edits.</p>

University of Alberta - Integrated Asset Management Strategy (IAMS) **REDLINE**

IAMS 2019	IAMS 2023	Comments
<p>research mission, considering prioritization criteria and guiding principles.</p> <p>B. Financial, space, and academic modeling will be implemented as part of the analytic framework to support choices of which buildings will undergo change.</p> <p>Strategic Enablers</p> <p>7. Establish a strong information and analytics platform to support evidence-based decision-making.</p> <p>Robust, consistent, and transparent decisions can be more effectively made when the information they are based on is complete, accurate, and integrated. In order to support improved management of assets, potential investment decisions, or monitoring of performance against service levels, a strong data inventory and analytics framework is needed.</p> <p>A. Strengthen front line processes and information gathering to instill higher confidence in facilities' data.</p> <p>B. Complete technology and business needs assessments to identify integrated solutions that support business requirements.</p> <p>C. Build predictive modeling of key assets that consider multiple factors to the longevity and operational costs of assets.</p> <p>8. Enhanced monitoring and reporting of progress will be embedded into the Facilities and Operations portfolio processes.</p> <p>This strategy provides Facilities and Operations a framework for the effective and efficient management of the institutions' assets. This is a living document which is relevant and integral to the daily asset management activities across the campuses. To ensure the strategy remains relevant and responsive, the following actions will be undertaken.</p> <p>A. Refresh the strategy as part of the annual planning cycles in place across Facilities and Operations.</p> <p>B. Implement quality assurance audits to ensure the integrity and cost effectiveness of data collected.</p> <p>C. Develop a reporting dashboard aligned with each phase of an asset's life cycle and report on progress and actions quarterly.</p>	<p>research mission, considering prioritization criteria and guiding principles.</p> <p>B. Utilize F financial, space, and academic modeling will be implemented as part of the analytic framework to support choices of which buildings will (or will not) undergo change.</p> <p>Strategic Enablers</p> <p>7. Establish a A strong information and analytics platform to support evidence-based decision-making.</p> <p>Robust, consistent, and transparent decisions can only be more effectively made when the information they are based on is complete, accurate, and integrated. In order to support improved management of infrastructure assets, potential investment decisions, or monitoring of performance against service levels, a strong data inventory and analytics framework is needed.</p> <p>A. Strengthen front line processes and information gathering to instill higher confidence in facilities' data.</p> <p>B. Complete technology and business needs assessments to identify integrated solutions that support business requirements.</p> <p>C. Build predictive modeling of key assets that consider multiple factors to the longevity and operational costs of assets.</p> <p>8. Enhanced monitoring and reporting of progress ensures transparency and accountability. will be embedded into the Facilities and Operations portfolio processes.</p> <p>This strategy provides Facilities and Operations a framework for the effective and efficient management of the institutions' assets. This is a living document which is relevant and integral to the daily asset management activities across the campuses. To ensure the strategy remains relevant and responsive, the following actions will be undertaken.</p> <p>A. Refresh the strategy as necessary to reflect changing university imperatives. part of the annual planning cycles in place across Facilities and Operations.</p> <p>B. Implement Conduct quality assurance audits to ensure the integrity and cost effectiveness of data collected.</p>	

University of Alberta - Integrated Asset Management Strategy (IAMS) **REDLINE**

IAMS 2019	IAMS 2023	Comments
	<p>C. Develop a Use reporting mechanisms to dashboard aligned with each phase of an asset's life cycle and report on progress and performance, and actions quarterly.</p>	
<p>Next Steps</p> <p>Taking care of our campuses today, will provide a stronger tomorrow. This requires strategic choices of how to manage and future-proof the full life-cycle of current and future infrastructure assets. This requires support from across the university faculties, schools, departments, faculty, researchers and staff, key stakeholders, as well as with different orders of government. All stakeholders are stewards of these assets and have a direct influence on the state and care of all of them.</p>	n/a	Moved components to Summary section.
<p>One to Two Years</p> <p>In the next year, Facilities and Operations will be more evidence-driven and seek opportunities to harness innovation in how it maintains, monitors, and operates infrastructure. This includes predicting trends that will improve capital-planning decisions based on expected performance of existing infrastructure. It will also see remote sensors reporting on performance of equipment and productivity of these assets to enhance maintenance cycles and reduce overall operating costs.</p> <p>Space will be optimized in ways that will align with the academic and research mission while minimizing the quantity of leased space to reduce the overall operating and maintenance costs while allowing more focused and targeted investments. All new or enhanced capital infrastructure will be evaluated to establish the full life cycle costs. There will be renewal of targeted buildings where learners' needs, efficiency gains, and space optimization are evident, such as renovations of the Dentistry/Pharmacy building and Lister Hall.</p> <p>Land and infrastructure not core to the academic and research missions or not aligned with students' needs or support may be disposed or exchanged for other assets or developed to realize revenues for the institution. And lastly, buildings that have met the end of their life cycle, do not align with the academic and research missions, do not meet student needs' or supports, or are prohibitive to operate or maintain will be decommissioned and, in select instances, demolished.</p>	n/a	Removed - content more applicable to the AMMP.
Three to Five Years		Removed - content more

University of Alberta - Integrated Asset Management Strategy (IAMS) **REDLINE**

IAMS 2019	IAMS 2023	Comments
<p>Over the next three to five years, Facilities and Operations will use predictive analytics to better understand performance, utilization, ecological impacts, and operating costs of assets including the impact of external events such as changing weather patterns and advances in innovation. As increasing amounts of building data is gathered by sensors and sources across all networks, assets that are 'over-maintained' and too cost intensive will be identified leading to a consideration of where alternatives may be more appropriate. There will also be a better understanding of space utilization and, where appropriate, changes to how space is used will need to be made. This will range from reductions to overall space, new configurations, or alternative lay-out and design.</p> <p>There will also be an increased emphasis on customer service in planning and delivery of infrastructure, including opportunities for continual feedback and satisfaction evaluations from users. This feedback will support continuous improvement throughout the full life cycle.</p> <p>Lastly, buildings that have reached the end of their life cycle, have increased operating and maintenance costs, and the return on investment to academia through to the financial analysis is unsustainable, will be decommissioned. And, in some instances, these buildings will be demolished if adequate and appropriate space is available elsewhere.</p>		<p>applicable to the AMMP.</p>
<p>Five to Fifteen Years</p> <p>In the next five to fifteen years, there will be changes in how students learn, how academia educates and trains, and there will likely be a substantive growth in the number of students attending post-secondary education. Innovation, technology, and environmental considerations will also increasingly influence asset needs and how infrastructure will be used. These changes over the years ahead will require adaptive and flexible space that more easily changes to the needs of users. Creativity will be needed now in order to accommodate for changes in the future.</p> <p>There are numerous impacts that will influence infrastructure decisions. One impact relates to autonomous vehicles and increased public transit potentially resulting in how the institution addresses parking and road infrastructure. This may require more sensors and cameras across the institution to support vehicle and passenger safety. Similarly, advances in alternative energy systems may result in changes to the utility grid and power systems, water collection and</p>		<p>Removed - content more applicable to the AMMP.</p>

University of Alberta - Integrated Asset Management Strategy (IAMS) **REDLINE**

IAMS 2019	IAMS 2023	Comments
<p>storage, and even energy storage. This could have a direct impact to the adjacent partners that use the University of Alberta’s utility systems. Student learning spaces may shift from a ‘sage on the stage’ to a ‘guide on the side’ suggesting a greater need for more collaboration and collision space for students to work together in ways that better enable collaboration and inter-disciplinary learning. Lastly, there may be mergers or acquisitions in post-secondary that expand the volume of assets that the University of Alberta is responsible for, thereby requiring even greater discipline in space optimization and efficient use and maintenance of infrastructure. These are only a handful of the impacts that changes in the environment, the fiscal context and advancements in technology could potentially influence our infrastructure. Facilities and Operations will increasingly undergo environmental scanning, strategic foresight and risk analysis, appropriate adoption of technology, and acceleration of analytics to understand the impact of potential decisions.</p>		
<p>Summary</p> <p>The current situation is not sustainable and action is needed now. This strategy will strengthen how we care for our campuses to ensure long term resilience and sustainability.</p> <p>Infrastructure is an enormous collective investment and a tremendous resource for a community, society, and the economy. All members of the University of Alberta community are stewards of its buildings and grounds. The majority of assets are increasingly vulnerable to outliving their life cycle, bringing safety, student and research programming, financial enterprise risks, and escalating overall operations and maintenance costs. The current situation is not sustainable and action is needed now, therefore this Integrated Asset Management Strategy requires extensive thought, input, and action. These challenges are not insurmountable but will require dedicated resources, behaviour change, concerted focus, and purposeful collaboration.</p> <p>This strategy and the actions within it will strengthen how the institution cares for its assets and work toward bending the trend of growth in operations and maintenance expenditures to ensure that the institution is resilient and sustainable for the long-term. Strategic asset management will underpin all activities and investment decisions related to managing our physical infrastructure assets in order to ensure optimal outcomes that underpin the core mission.</p>	<p><u>Infrastructure for Tomorrow</u></p> <p><u>In many tangible ways, a university campus replicates a small city. In the case of the University of Alberta’s North Campus, 160 buildings of varying use, age, and complexity are connected by a network of streets, sidewalks, and tunnels. While comprising fewer buildings, Campus Saint-Jean, Augustana, Enterprise Square, and South Campus also each form key elements of the university’s rich infrastructure mosaic.</u></p> <p><u>All decisions related to investing in campus infrastructure are naturally very long-term in nature and, in a world with limited resources, must be made prudently and with an eye clearly focused on the future. The future of world-class teaching and research. The future of memorable student experiences. A sustainable future.</u></p> <p><u>Shape, A Strategic Plan of Impact, reminds us of the imperative for us to be at the forefront of educating a growing province with global ambitions. Key to this is having and maintaining university infrastructure - classrooms, labs, libraries, study spaces, and other spaces to enhance the student experience - that meet today’s expectations without constraining tomorrow’s ambitions. With the necessary support of willing partners, the University of Alberta’s Integrated Asset Management Strategy will get us there.</u></p>	<p>Updated language.</p>



ITEM NO. 8d

Decision **Discussion** **Information**

ITEM OBJECTIVE: To a) approve changes to the Board Audit and Risk, Finance and Property, and Human Resources and Compensation Committees’ terms of reference, as identified during the committees’ annual review of their terms of reference and recommended by each committee in September 2023; and b) delegate to the Provost and Vice-President (Academic) the authority to appoint and assign powers/duties/functions to the University Registrar.

DATE	December 8, 2023
TO	Board of Governors
RESPONSIBLE PORTFOLIO	University Governance

MOTION 1: THAT the Board of Governors, on the recommendation of the Board Governance Committee and the Board Audit and Risk, Finance and Property, and Human Resources and Compensation Committees, approve proposed changes to the Standing Committees’ Terms of Reference, as set forth in Attachment 1, to take effect January 1, 2024.

MOTION 2: THAT the Board of Governors, on the recommendation of the Board Human Resources and Compensation Committee, delegate to the Provost and Vice-President (Academic) the authority, as set-out in Section 20 of the *Post-secondary Learning Act*, to:

- appoint the university’s registrar; and
- with the president, assign the university registrar’s powers, duties and functions;

with such delegation to take effect January 1, 2024.

EXECUTIVE SUMMARY:

Background

In 2021-2022, the Board Governance Committee (BGC) held its first triennial review of committee structure and mandates to ensure committees were relevant and effective and that the board was compliant with governance legislation and documents. In addition to this BGC-led broad review of committee mandates and structure, each board standing committee annually reviews its own terms of reference and recommends required changes to the Board of Governors through BGC.

Current review of Committee Terms of Reference:

In May 2023, all Board Standing Committees conducted their annual terms of reference review in consultation with University Governance and administration, resulting in proposed changes from three committees. The proposed revisions, as recommended by the committees at their September meetings and as recommended by BGC at its November meeting, are attached for Board approval, and include:

Audit and Risk (BARC):

- a proposed addition for the committee to review and recommend the University of Alberta Annual Report from a financial and risk perspective, as requested by the committee in September 2022 (*Section 2w*).

GOVERNANCE OUTLINE



ITEM NO. 8d

Finance and Property (BFPC):

- a request from the Office of the Provost and Vice-President (Academic) that the Board rescind the committee's delegated authority to approve tuition increases (section 2h) and to delegate mandatory non-instructional fee (MNIF) increases (*Section 2i*);
- a proposed change to reflect that BFPC's oversight role with regard to residences and meal plans is a financial one. Student experience falls under the Board Learning, Research and Student Experience Committee's mandate (*Section 2n*);
- since 2011, the Vice-President (F&O) has delegated authority from the Board of Governors to approve parking rate increases lower than the Consumer Price Index (CPI). This current change will result in:
 - oversight of aggregate parking rate increases (rather than by individual lot locations);
 - a delegation of authority from the Board to BFPC to approve increases higher than CPI; and
 - clarity into how CPI is calculated (*Section 2o*);
- editorial changes to sections 2p through 2x

Human Resources and Compensation (BHRCC):

- updates to reflect BHRCC's authority over decisions related to excluded staff, including the June 16th Board of Governors' delegation to BHRCC for authority over Management and Professional Staff and Academic Administrators Market Peer Groups and Salary Structures (*Sections 2 d/e; 3e*);
- improved clarity regarding the committee's role in approving changes in compensation for the president and vice-presidents (rather than only the initial compensation upon appointment) (*Sections 2k/n*);
- review of the "Senior Administration" section (tabled in 2021-22) related to:
 - Appointments: including a recommendation to delegate to the Provost and Vice-President (Academic) the authority to appoint and assign duties to the university registrar (*Section 2r*). This recommendation:
 - maintains the committee's authority over senior institutional leaders (President/Vice-Presidents/College & Faculty Deans);
 - aligns with the approach of other provincial universities; and
 - requires a formal delegation to transfer the Board's authority under Section 20 of the *Post-secondary Learning Act* (PSLA) to the Provost.
 - Compensation: including a recommendation to align Section 2u with Section 2r by retaining the committee's authority over College/Faculty Dean compensation and removing authority over compensation for the Deputy Provost, University Registrar, and University Librarian. Of note:
 - These positions will be captured within BHRCC's authority over changes to MAPS and Academic Administrator salary structures.
 - No delegation is required for this decision as the PSLA does not grant the Board specific authority over compensation for these positions.



ITEM NO. 8d

Risk Discussion / Mitigation of the Risk

Committees risk not fulfilling the board’s legislated responsibilities without clear and comprehensive terms of reference that outline their board-delegated responsibilities. Performing an annual review of the terms of reference reminds members of the committee’s role and the board’s expectations, and offers an opportunity to clean-up outdated/unclear language or delegations. BGC’s centralized review of individual committee proposals for changes to their terms of reference ensures committees are working well together to fulfil their board delegated authority, which in turn enhances Board of Governors’ effectiveness.

Next Steps

- If approved, the revisions will be effective January 1, 2024.
- The next triennial review of committee structure and mandates will kick off in May 2024.

Supporting Materials:

1. Proposed Standing Committee Terms of Reference - **redlined** (12 pages) – **for approval**
 - a) Audit and Risk
 - b) Finance and Property
 - c) Human Resources and Compensation

2. Proposed Standing Committee Terms of Reference - **clean** (12 pages)
 - a) Audit and Risk
 - b) Finance and Property
 - c) Human Resources and Compensation

SCHEDULE A:

Engagement and Routing

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

Consultation and Governance Route

- Committee Administration – throughout
- Committee Chairs
- University Secretary
- Board Secretary and Manager of Board Services
- Associate Board Secretary
- Board Standing Committees

Approval Route:

- BARC, BFPC, and BHRCC (each recommending own Terms of Reference): Sept 2023
- Board Governance Committee – November 29, 2023 (recommendation)
- Board of Governors – December 8, 2023 (approval)

1. Mandate and Role of the Committee – The Board Audit and Risk Committee assists the Board of Governors in fulfilling its governance responsibilities by providing strategic oversight, insight, and foresight with respect to all auditing, financial reporting and internal control functions; health, safety, environmental stewardship, and security of the University community; and enterprise risk management.

2. Areas of Responsibility

Without limiting the generality of the foregoing, the Committee:

Financial Reporting

- a) reviews with administration and the external auditor:
 - i. the University's annual financial statements, including any relevant accounting or disclosure matters;
 - ii. the external auditor's audit findings report and draft opinion on the financial statements;
 - iii. any significant changes in the external auditor's audit plan, difficulties or disputes with Administration, or other matters related to the conduct of the audit which are to be communicated to the Committee under generally accepted auditing standards; and
 - iv. recommends the annual financial statements to the Board of Governors for approval.
- b) reviews with administration and the external auditor the appropriateness of the University's current and proposed accounting and financial disclosure policies, principles and practices.
- c) reviews regularly with the General Counsel, Administration, and the external auditors any legal claim, legal or regulatory matter, or other contingency that could have a material effect upon the financial position or operating results of the University and the manner in which these matters have been disclosed in the financial statements.
- d) reviews published documents containing financial information derived from the financial statements for consistency with the information contained in the financial statements.

Audit Oversight

- e) confirms and assures the independence of the University Auditor and the external auditor (including its agent).
- f) meets with the University Auditor, external auditor and Administration in separate in camera sessions to discuss any matters that the Committee or these groups believe should be discussed privately with the Committee.
- g) approves, in consultation with the external auditor and the University Auditor, their audit scope and plans.
- h) discusses audit findings and recommendations and confirms the appropriateness of administration's responses.
- i) reviews with the external auditor and the University Auditor the coordination of audit effort to assure completeness of coverage, reduction of redundant efforts and the effective use of audit resources.
- j) provides an open avenue of communication between the University Auditor, external auditor, Administration and the Board.

External Audit Oversight

- k) reviews the annual engagement letter.
- l) receives reports on external audits other than those done by the Office of the Auditor General.

Internal Audit Oversight

- m) approves the appointment, replacement, reassignment, or removal of the University Auditor.

- n) considers and reviews with Administration and the University Auditor:
- i. significant findings during the year and the responses of Administration thereto.
 - ii. any difficulties encountered in the course of audits, including any restrictions on the scope of work or access to required information.
 - iii. any changes required in the planned scope of the audit plan.
 - iv. the internal audit department's charter, budget, staffing plan and work schedule.
 - v. the internal audit department's compliance with applicable professional standards.

Enterprise Risk Management

- o) oversees the University's enterprise risk management system on behalf of the Board. This includes:
- i. keeping the Board apprised of significant changes in risk levels and of emerging risks and opportunities.
 - ii. guiding and coordinating consideration of risk by other Board committees.
 - iii. overseeing the enterprise risk management system and processes, including risk identification, monitoring, reporting and management.
 - iv. regular Board education about the enterprise risk management process and associated roles and responsibilities.
- p) reviews with administration, the University Auditor and the external auditor significant risks or exposures and assesses the adequacy of internal controls and mitigation strategies and measures. This includes reviewing reports from administration and the auditors and assessing the adequacy of:
- i. insurance coverage.
 - ii. disaster recovery and business continuity plans and processes.
 - iii. other policies and procedures in place to minimize risks to asset value and mitigate damage to or deterioration of asset value.
 - iv. processes and controls to prevent and detect fraud and financial irregularities, including procedures for safe disclosure of complaints and concerns regarding financial irregularities or other accounting or auditing matters.
- q) reviews reports, strategies, and plans regarding cybersecurity and risks related to University information technology systems.
- r) obtains reasonable assurance that financial risk is being effectively managed or controlled by reviewing with Administration:
- i. the University's tolerance for financial risks.
 - ii. its assessment of the significant financial risks facing the University.
 - iii. the University's policies and any proposed changes thereto for managing those significant financial risks.
 - iv. its plans, processes and programs to manage and control such risks so as to ensure the protection of assets and investments from an enterprise perspective.
- s) reviews and approves authorized signing officers in respect of all banking and safekeeping.
- t) reviews regularly with the University's General Counsel any legal or privacy claims or issues that could have a material effect upon the reputation or operations of the University.
- u) reviews policies and reports on compliance therewith that require significant actual or potential liabilities, contingent or otherwise, to be reported to the Board in a timely fashion.
- v) annually reviews a report on the compliance of travel and hosting expenditures incurred by the Board Chair, the President, and the Vice-Presidents with pertinent policies.
- v)w) reviews the University of Alberta Annual Report to Government from a financial and enterprise risk management perspective, and recommends approval to the Board of Governors.

Health, Safety, Environmental Stewardship and Security

w)x) _____ monitors compliance with pertinent legislation, regulations and University policies and procedures.

x)y) _____ reviews and provides advice and recommendations on:

- i. reports on significant incidents, trends and outcomes at the University.
- ii. strategies and measures to support a culture that promotes occupational health, safety, environmental stewardship and security at the University.

y)z) _____ receives and reviews an annual report from the Office of Safe Disclosure and Human Rights.

Policy and Other Matters

z)aa) _____ reviews and approves changes to existing University policies relating to the Committee's mandate, subject to the Limitations on Delegation as set out in paragraph 3.

aa)bb) _____ reviews and recommends new University policies relating to the Committee's mandate, as set out in the University's Policy Development Framework.

bb)cc) _____ considers other matters at the request of the Board.

3. Limitation on Delegation by the Board of Governors

The Committee functions in accordance with the Principles for Board of Governors Delegation of Authority. The general delegation of authority by the Board to the Committee is limited as set out in this paragraph. Notwithstanding the general delegation of authority to the Committee as set out in paragraph 2, the Board:

- a) approves the annual financial statements of the University.
- b) approves policy changes with significant institutional impact.
- c) approves new policies relating to the Committee's mandate, as set out in the University's Policy Development Framework.
- d) reviews and approves decisions with respect to information from the Auditor General or the University Auditor on controls or related matters the Chair of the Committee or the Committee may consider prudent or necessary.
- e) approves the University of Alberta Annual Report to Government.
- f) approves recommendations and considers information and reports on matters that in the opinion of the Committee may pose significant risk to the University.

4. Composition

The Committee functions in accordance with the Principles for Board of Governors Standing Committee Composition.

Members

Ex-officio (2)

- a) The Board Chair, by virtue of office
- b) The Chancellor, by virtue of office

Appointed (7)

- c) Where appropriate, no more than seven Governors or Non-Governor Committee Members, as appointed by the Board or its delegate*

Internal Resources

Ex-officio

- d) The President and Vice-Chancellor, by virtue of office

Appointed by the President

- e) Provost and Vice-President (Academic)
- f) Vice-President (University Services and Finance)
- g) University Auditor
- h) General Counsel
- i) University Secretary
- j) Committee Secretary
- k) Other resources, as determined by the President or the Committee

External Auditor / Agent

- l) External Auditor (Auditor General of Alberta)

Chair/Vice-Chair

- m) The Committee Chair and Vice-Chair shall be selected from Committee membership Section 4(c) of these Terms of Reference.
- n) The Vice-Chair undertakes and discharges all duties of the Chair in the absence of the Chair.

* 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.

5. Committee Process and Procedures

The Committee:

- a) functions in accordance with the Board of Governors Bylaws.
- b) develops and follows an annual work plan addressing both strategic and routine issues.
- c) has the power to conduct or authorize investigations into any matters within the Committee's scope of responsibilities. The Committee is empowered to retain independent counsel, accountants, or others to assist it in the conduct of any investigation.
- d) annually reviews the terms of reference of the Committee and recommends to the Board Governance Committee any required changes.

6. Reporting to the Board of Governors

The Committee reports regularly to the Board of Governors with respect to its activities and decisions.

Decision History:

<i>DATE</i>	<i>DECISION-MAKER</i>	<i>DECISION</i>
2019-05-27	Board Audit and Risk Committee (Board Audit Committee)	Recommended
2019-06-14	Board of Governors	Approved
2022-03-07	Board Audit and Risk Committee	Recommended
2022-04-27	Board Governance Committee	Recommended
2022-05-13	Board of Governors	Approved



1. Mandate and Role of the Committee – The Board Finance and Property Committee assists the Board of Governors in fulfilling its governance responsibilities by providing strategic oversight, insight and foresight with respect to all significant financial and property matters of the University.

2. Areas of Responsibility

Without limiting the generality of the foregoing, the Committee:

Financial

- a) reviews and monitors quarterly financial statements with respect to operating and capital funds.
- b) reviews and approves capitalization of funds to endowments.
- c) reviews and recommends approval of the annual consolidated budget.
- d) monitors trends and key budget drivers affecting the University and identifies the strategic implications of those trends for the University's future needs.
- e) reviews and recommends sections of the Investment Management Agreement and / or a similar document that aligns with the committee's mandate and role.
- f) reviews, approves, and recommends approval of internal loans, as determined by the university's Internal Loan Policy.
- g) reviews and recommends execution of borrowing resolutions, as required by the Alberta Post-Secondary Learning Act.

Tuition and Fees

- h) ~~approves reviews and recommends~~ increases to domestic student tuition fees ~~equal to or less than the Consumer Price Index, as defined under the Alberta Post-Secondary Learning Act and its associated Regulations.~~
- i) reviews and recommends new mandatory non-instructional fees ~~and non-credit international support fees,~~ and ~~approves~~ increases to existing mandatory non-instructional fees ~~when higher than the Academic Price Index (as determined by the March 18, 2016 Board-approved formula) and non-credit international support fees equal to or less than the agreed-upon weighted annual inflation with both a ceiling of 5.0% and a floor of 0%.~~
- j) ~~Reviews and recommends non-credit international support fees, and increases to existing non-credit international support fees~~
- j)k) ~~approves~~ new non-regulated exclusion to program fees, and changes to or deletions of existing non-regulated exclusion to program fees.
- k)l) ~~reviews and recommends approval of international student tuition fees.~~
- l)m) ~~approves the collection of fees on behalf of University of Alberta Students' Union and Graduate Students' Association.~~
- m)n) ~~reviews the impacts of cost recovery operations on the university's consolidated budget budget drivers for ancillary operations, including rates and financial targets for residences and meal plans, and receives an overview of residence system health, including quality of services provided.~~
- n)o) ~~reviews and approves and recommends approval of parking rates~~ increases, ~~when the projected percentage increase in total parking revenue will exceed the Consumer Price Index (as reported by Statistics Canada as of December 31 in the preceding year).~~

Facilities, Property and Capital Expenditures

- o)p) ~~reviews, approves, and recommends approval of capital expenditures, as determined by the University's Capital Expenditure Authorization Request (CEAR) Policy.~~

- ~~p)q)~~ reviews and recommends approval of the acquisition or disposition of real property, as determined by the University's Real Property Acquisition and Disposition Procedures and as guided by the Capital Expenditure Authorization Request (CEAR) Policy approval limits.
- ~~q)r)~~ identifies and monitors trends relating to the University's physical infrastructure property and its deferred maintenance needs, and assesses the strategic impact of ~~such~~ trends related to maintenance and life-cycle renewal and changes on the University.
- ~~r)s)~~ reviews and recommends approval of the capital plan.
- ~~s)t)~~ reviews and recommends substantive changes to the university's Integrated Asset Management strategy, as such strategy may be amended, amended and restated, replaced, supplemented, or renamed from time-to-time, including substantive updates, and receives regular updates on the ~~institution's university's progress on toward achieving the objectives outlined in the such~~ strategy.
- ~~t)u)~~ reviews and recommends approval of lands to be transferred to the University of Alberta Properties Trust Inc. as well as accompanying transfer terms and conditions, to be negotiated with UAPTI reflecting the long term strategies under which transferred lands are to be managed and developed.
- ~~u)v)~~ reviews and approves the appointment and renewal of terms of office of directors of the University of Alberta Properties Trust Inc.
- ~~v)w)~~ reviews and recommends the university's long-range development plans, land development plans, and other master plans, including substantive amendments, for university lands, and monitors individual project proposals for implications to the university's long-range planning and strategic vision.
- ~~w)x)~~ approves ~~expenditures of a non-capital nature from the real property reserve fund the use of funds derived from the sale, lease, or exchange of real property for non-capital purposes~~.

Information Technology

- ~~x)y)~~ reviews reports, strategies and plans regarding physical infrastructure and resource optimization for University information technology systems.

Policy and Other Matters

- ~~y)z)~~ reviews and approves changes to existing University policies relating to the Committee's mandate, subject to the Limitations on Delegation as set out in paragraph 3.
- ~~z)aa)~~ reviews and recommends new University policies relating to the Committee's mandate, as set out in the University's Policy Development Framework.
- ~~aa)bb)~~ considers enterprise risk and opportunities associated with all items before the Committee and communicates those as needed to the Board Audit and Risk Committee.
- ~~bb)cc)~~ considers other matters at the request of the Board.

3. Limitation on Delegation by the Board of Governors

The Committee functions in accordance with the Principles for Board of Governors Delegation of Authority. The general delegation of authority by the Board to the Committee shall be limited as set out in this paragraph. Notwithstanding the general delegation of authority to the Committee as set out in paragraph 2, the Board approves:

- a) policy changes with significant institutional impact.
- b) new policies relating to the Committee's mandate, as set out in the University's Policy Development Framework.
- c) policies for the control and regulation of pedestrian and vehicle traffic on University lands.
- d) guiding principles for changes to approved budgets and for transfer or reallocation of monies included in approved budgets
- e) the annual consolidated budget.

- f) the Investment Management Agreement and / or a similar document.
- g) internal loans, as determined by the as determined by the university's Internal Loan Policy, and the execution of borrowing resolutions.
- h) domestic and international student tuition fees.
- ~~i) exceptional increases to domestic student tuition greater than the Consumer Price Index, as allowed under the Alberta Post-Secondary Learning Act and its associated Regulations.~~
- ~~jj) new mandatory non-instructional fees and non-credit international support fees.~~
- ~~k) increases to mandatory non-instructional fees greater than the Academic Price Index and increases to non-credit international support fees greater than 5%, as allowed under the Alberta Post-Secondary Learning Act and its associated Regulations.~~
- ~~l) parking rates~~
- ~~m)k) capital expenditures as determined by the University's Capital Expenditure Authorization Request Policy.~~
- ~~n)l) the acquisition or disposition of real property as determined by the University's Real Property Compliance Policy.~~
- ~~o)m) the capital plan.~~
- ~~p)n) the Integrated Asset Management Strategy.~~
- ~~q)o) lands to be transferred to the University of Alberta Properties Trust Inc., as well as accompanying transfer terms and conditions to be negotiated with UAPTI reflecting the long term strategies under which transferred lands are to be managed and developed.~~
- r)p) the university's long-range development plan, land development plans, and other master plans for university lands, including substantive amendments.
- s)q) recommendations, and considers information and reports, on matters that in the opinion of the Committee may pose significant risk to the University.

4. Composition

The Committee functions in accordance with the Principles for Board of Governors Standing Committee Composition.

Members

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

Internal Resources

- e) Provost and Vice-President (Academic)
- f) Vice-President (Facilities and Operations)
- g) Vice-President (University Services and Finance)
- h) Vice-President (External Relations)
- i) University Secretary
- j) Committee Secretary
- k) Other resources, as determined by the President or the Committee

Chair/Vice-Chair

- l) The Committee Chair and Vice-Chair shall be selected from Committee membership Section 4(d) of these Terms of Reference.
- m) The Vice-Chair undertakes and discharges all duties of the Chair in the absence of the Chair.

5. Committee Process and Procedures

The Committee:

- a) functions in accordance with the Board of Governors Bylaws.
- b) develops and follows an annual work plan addressing both strategic and routine issues.
- c) annually reviews the terms of reference of the Committee and recommends to the Board Governance Committee any required changes.

6. Reporting to the Board of Governors

The Committee reports regularly to the Board of Governors with respect to its activities and decisions.

Decision History:

<i>DATE</i>	<i>DECISION-MAKER</i>	<i>DECISION</i>
2019-05-28	Board Finance and Property Committee	Recommended
2019-06-14	Board of Governors	Approved
2020-05-26	Board Finance and Property Committee	Recommended
2020-06-19	Board of Governors	Approved
2022-03-10	Board Finance and Property Committee	Recommended
2022-04-27	Board Governance Committee	Recommended
2022-05-13	Board of Governors	Approved



1. Mandate and Role of the Committee – The Board Human Resources and Compensation Committee assists the Board of Governors in fulfilling its governance responsibilities by providing strategic oversight, insight, and foresight with respect to University human resources policies, procedures, and trends; collective bargaining and related service contracts; and senior administration selection, review, compensation, and succession planning.

2. Areas of Responsibility

Without limiting the generality of the foregoing, the Committee:

Employee and Labour Relations

Collective Bargaining

- a) considers and recommends to the Board changes in collective agreements, ~~as well as the Handbook of Terms and Conditions of Employment for Management and Professional Staff (Excluded) (MAPs).~~
- b) reviews and approves the mandates for negotiating committees with all bargaining units.
- c) receives updates on collective bargaining, the administration of collective agreements, and labour relations, and provides feedback and advice to the President.

Excluded Staff

- d) ~~considers and recommends to the Board changes to the Handbook of Terms and Conditions of Employment for Management and Professional Staff (Excluded) (MAPs).~~
- e) ~~approves changes to market peer groups and salary structures for MAPS and Academic Administrators.~~

Senior Administration Appointments/Reviews

President

- f) ~~monitors~~ monitors Presidential effectiveness and, through the Chair of the Committee, provides advice to the Chair of the Board on the performance of the President.
- g) annually solicits, reviews and evaluates the comments of the members of the Board with respect to the performance of the President and considers such other data, reports and information as the Committee considers useful.
- h) ~~recommends~~ recommends the President's annual goals and objectives to the Board for approval.
- i) ~~appoints~~ appoints Board members to search and review committees for the President as established under the University's Recruitment Policy and associated procedures.
- j) ~~reviews and recommends~~ reviews and recommends the appointment, extension, reappointment and dismissal of the President.
- k) ~~reviews and approves~~ reviews and approves the compensation (initial and changes thereto) and all contractual terms and conditions for the President, prior to the execution thereof or any public announcement.
- l) ~~reviews and recommends~~ reviews and recommends changes to the President's executive position description.

Vice-Presidents

- m) ~~reviews and recommends~~ reviews and recommends the appointment, extension, reappointments and dismissals of Vice-Presidents.
- n) ~~reviews and approves~~ reviews and approves the compensation (initial and changes thereto) and all material contractual terms and conditions for the Vice-Presidents prior to the execution thereof or any public announcement, on the recommendation of the President.
- o) ~~appoints~~ appoints Board members and external representatives of the Board to advisory search and review committees for Vice-Presidents, as established under the University's Recruitment Policy and associated procedures.

n)p) _____ annually provides advice to the President, through the Chair of the Committee, with respect to the responsibilities and performance (in relation thereto) of the Vice-Presidents.

o)q) _____ reviews and recommends changes to the Vice-Presidents' executive position descriptions.

Senior Administration

p)r) reviews and approves the appointment, extension, reappointments, and dismissals of College Deans ~~and, Faculty Deans, and the University Registrar.~~

q)s) _____ reviews and approves matters of a substantive nature with respect to the procedures for the selection of Deans, as established under the University's Recruitment Policy and associated procedures.

r)t) reviews succession plans for senior administration.

s)u) _____ annually reviews the performance and approves the compensation of ~~the Deputy Provost, the College and Faculty~~ Deans, ~~the University Registrar and the University Librarian,~~ upon the advice and recommendation of the Provost.

t)v) approves the appointment of Killam and Tory Chairs.

The Committee makes recommendations with respect to appointments, extensions, reappointments and dismissals of Vice-Presidents and Deans on the advice and recommendation of the President.

Reports, Advice, Trends

u)w) _____ considers trends affecting human resources policies of the University.

v)x) _____ receives annual reports on the university's pensions plans and provides feedback to the university representative(s);

w)y) _____ approves the nomination of a university representative to the Public Service Pension Plan (PSP) Corporation Board of Directors, and the appointment of a university representative to the PSP Sponsor Board, pursuant to the Joint Governance of Public Sector Pension Plans Act.

x)z) _____ approves the appointment of a university representative to the Universities Academic Pension Plan (UAPP) Board of Trustees, pursuant to the UAPP Sponsorship and Trust Agreement.

y)aa) _____ monitors trends in compensation and benefits for executives, senior administrators, faculty, staff and other employees.

z)bb) _____ reviews and provides feedback on regular reports on hiring, retention, and other employment-related matters.

aa)cc) _____ monitors the performance of the University in the areas of responsibility of the Committee against key strategic performance indicators and reports on this to the Board.

Policy and Other Matters

bb)dd) _____ reviews and approves changes to existing University policies relating to the Committee's mandate, subject to the Limitations on Delegation as set out in paragraph 3.

ee)ee) _____ reviews and recommends new University policies relating to the Committee's mandate, as set out in the University's Policy Development Framework.

dd)ff) _____ considers enterprise risk and opportunities associated with all items before the Committee and communicates those as needed to the Board Audit and Risk Committee.

ee)gg) _____ considers other matters at the request of the Board.

3. Limitation on Delegation by the Board of Governors

The Committee functions in accordance with the Principles for Board of Governors Delegation of Authority. The general delegation of authority by the Board to the Committee is limited as set out in this paragraph. Notwithstanding the general delegation of authority to the Committee as set out in paragraph 2, the Board approves:

- a) the appointment, extension, reappointment and dismissal of Vice-Presidents and the President.
- b) changes to President and Vice-President executive position descriptions.

- c) goals and objectives for the President.
- d) collective agreements and substantial revisions thereof.
- e) changes to the Handbook of Terms and Conditions of Employment for Management and Professional Staff (Excluded) (MAPS).
- e)f) policy changes with significant institutional impact, including those related to the remuneration of Deans, Vice-Presidents and the President and other senior members of the Administration of the University.
- f)g) new policies relating to the Committee's mandate, as set out in the University's Policy Development Framework.
- g)h) _____ recommendations and considers information and reports on matters that in the opinion of the Committee may pose significant risk to the University.

4. Composition

The Committee functions in accordance with the Principles for Board of Governors Standing Committee Composition.

Members

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*

Internal Resources

- e) Provost and Vice-President (Academic)
- f) Vice-President (University Services and Finance)
- g) Associate Vice-President (Human Resources, Health, Safety and Environment)
- h) University Secretary
- i) Committee Secretary
- j) Other resources, as determined by the President or the Committee

Chair/Vice-Chair

- k) The Committee Chair and Vice-Chair shall be selected from Committee membership Section 4(d) of these Terms of Reference.
- l) The Vice-Chair undertakes and discharges all duties of the Chair in the absence of the Chair.

* 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.

5. Committee Process and Procedures

The Committee:

- a) functions in accordance with the Board of Governors Bylaws.
- b) develops and follows an annual work plan addressing both strategic and routine issues.
- c) annually reviews the terms of reference of the Committee and recommends to the Board Governance Committee any required changes.

6. Reporting to the Board of Governors

The Committee reports regularly to the Board of Governors with respect to its activities and decisions.

Decision History:

<i>DATE</i>	<i>DECISION-MAKER</i>	<i>DECISION</i>
<i>2019-05-28</i>	<i>Board Human Resources and Compensation Committee</i>	<i>Recommended</i>
<i>2019-06-14</i>	<i>Board of Governors</i>	<i>Approved</i>
<i>2022-03-08</i>	<i>Board Human Resources and Compensation Committee</i>	<i>Recommended</i>
<i>2022-04-27</i>	<i>Board Governance Committee</i>	<i>Recommended</i>
<i>2022-05-13</i>	<i>Board of Governors</i>	<i>Approved</i>
<i>2022-06-17</i>	<i>Board of Governors</i>	<i>Approved (re delegation of College Dean appts)</i>

1. Mandate and Role of the Committee – The Board Audit and Risk Committee assists the Board of Governors in fulfilling its governance responsibilities by providing strategic oversight, insight, and foresight with respect to all auditing, financial reporting and internal control functions; health, safety, environmental stewardship, and security of the University community; and enterprise risk management.

2. Areas of Responsibility

Without limiting the generality of the foregoing, the Committee:

Financial Reporting

- a) reviews with administration and the external auditor:
 - i. the University's annual financial statements, including any relevant accounting or disclosure matters;
 - ii. the external auditor's audit findings report and draft opinion on the financial statements;
 - iii. any significant changes in the external auditor's audit plan, difficulties or disputes with Administration, or other matters related to the conduct of the audit which are to be communicated to the Committee under generally accepted auditing standards; and
 - iv. recommends the annual financial statements to the Board of Governors for approval.
- b) reviews with administration and the external auditor the appropriateness of the University's current and proposed accounting and financial disclosure policies, principles and practices.
- c) reviews regularly with the General Counsel, Administration, and the external auditors any legal claim, legal or regulatory matter, or other contingency that could have a material effect upon the financial position or operating results of the University and the manner in which these matters have been disclosed in the financial statements.
- d) reviews published documents containing financial information derived from the financial statements for consistency with the information contained in the financial statements.

Audit Oversight

- e) confirms and assures the independence of the University Auditor and the external auditor (including its agent).
- f) meets with the University Auditor, external auditor and Administration in separate in camera sessions to discuss any matters that the Committee or these groups believe should be discussed privately with the Committee.
- g) approves, in consultation with the external auditor and the University Auditor, their audit scope and plans.
- h) discusses audit findings and recommendations and confirms the appropriateness of administration's responses.
- i) reviews with the external auditor and the University Auditor the coordination of audit effort to assure completeness of coverage, reduction of redundant efforts and the effective use of audit resources.
- j) provides an open avenue of communication between the University Auditor, external auditor, Administration and the Board.

External Audit Oversight

- k) reviews the annual engagement letter.
- l) receives reports on external audits other than those done by the Office of the Auditor General.

Internal Audit Oversight

- m) approves the appointment, replacement, reassignment, or removal of the University Auditor.

- n) considers and reviews with Administration and the University Auditor:
 - i. significant findings during the year and the responses of Administration thereto.
 - ii. any difficulties encountered in the course of audits, including any restrictions on the scope of work or access to required information.
 - iii. any changes required in the planned scope of the audit plan.
 - iv. the internal audit department's charter, budget, staffing plan and work schedule.
 - v. the internal audit department's compliance with applicable professional standards.

Enterprise Risk Management

- o) oversees the University's enterprise risk management system on behalf of the Board. This includes:
 - i. keeping the Board apprised of significant changes in risk levels and of emerging risks and opportunities.
 - ii. guiding and coordinating consideration of risk by other Board committees.
 - iii. overseeing the enterprise risk management system and processes, including risk identification, monitoring, reporting and management.
 - iv. regular Board education about the enterprise risk management process and associated roles and responsibilities.
- p) reviews with administration, the University Auditor and the external auditor significant risks or exposures and assesses the adequacy of internal controls and mitigation strategies and measures. This includes reviewing reports from administration and the auditors and assessing the adequacy of:
 - i. insurance coverage.
 - ii. disaster recovery and business continuity plans and processes.
 - iii. other policies and procedures in place to minimize risks to asset value and mitigate damage to or deterioration of asset value.
 - iv. processes and controls to prevent and detect fraud and financial irregularities, including procedures for safe disclosure of complaints and concerns regarding financial irregularities or other accounting or auditing matters.
- q) reviews reports, strategies, and plans regarding cybersecurity and risks related to University information technology systems.
- r) obtains reasonable assurance that financial risk is being effectively managed or controlled by reviewing with Administration:
 - i. the University's tolerance for financial risks.
 - ii. its assessment of the significant financial risks facing the University.
 - iii. the University's policies and any proposed changes thereto for managing those significant financial risks.
 - iv. its plans, processes and programs to manage and control such risks so as to ensure the protection of assets and investments from an enterprise perspective.
- s) reviews and approves authorized signing officers in respect of all banking and safekeeping.
- t) reviews regularly with the University's General Counsel any legal or privacy claims or issues that could have a material effect upon the reputation or operations of the University.
- u) reviews policies and reports on compliance therewith that require significant actual or potential liabilities, contingent or otherwise, to be reported to the Board in a timely fashion.
- v) annually reviews a report on the compliance of travel and hosting expenditures incurred by the Board Chair, the President, and the Vice-Presidents with pertinent policies.
- w) reviews the University of Alberta Annual Report to Government from a financial and enterprise risk management perspective, and recommends approval to the Board of Governors.

Health, Safety, Environmental Stewardship and Security

- x) monitors compliance with pertinent legislation, regulations and University policies and procedures.

- y) reviews and provides advice and recommendations on:
 - i. reports on significant incidents, trends and outcomes at the University.
 - ii. strategies and measures to support a culture that promotes occupational health, safety, environmental stewardship and security at the University.
- z) receives and reviews an annual report from the Office of Safe Disclosure and Human Rights.

Policy and Other Matters

- aa) reviews and approves changes to existing University policies relating to the Committee's mandate, subject to the Limitations on Delegation as set out in paragraph 3.
- bb) reviews and recommends new University policies relating to the Committee's mandate, as set out in the University's Policy Development Framework.
- cc) considers other matters at the request of the Board.

3. Limitation on Delegation by the Board of Governors

The Committee functions in accordance with the Principles for Board of Governors Delegation of Authority. The general delegation of authority by the Board to the Committee is limited as set out in this paragraph. Notwithstanding the general delegation of authority to the Committee as set out in paragraph 2, the Board:

- a) approves the annual financial statements of the University.
- b) approves policy changes with significant institutional impact.
- c) approves new policies relating to the Committee's mandate, as set out in the University's Policy Development Framework.
- d) reviews and approves decisions with respect to information from the Auditor General or the University Auditor on controls or related matters the Chair of the Committee or the Committee may consider prudent or necessary.
- e) approves the University of Alberta Annual Report to Government.
- f) approves recommendations and considers information and reports on matters that in the opinion of the Committee may pose significant risk to the University.

4. Composition

The Committee functions in accordance with the Principles for Board of Governors Standing Committee Composition.

Members

Ex-officio (2)

- a) The Board Chair, by virtue of office
- b) The Chancellor, by virtue of office

Appointed (7)

- c) Where appropriate, no more than seven Governors or Non-Governor Committee Members, as appointed by the Board or its delegate*

Internal Resources

Ex-officio

- d) The President and Vice-Chancellor, by virtue of office

Appointed by the President

- e) Provost and Vice-President (Academic)
- f) Vice-President (University Services and Finance)

- g) University Auditor
- h) General Counsel
- i) University Secretary
- j) Committee Secretary
- k) Other resources, as determined by the President or the Committee

External Auditor / Agent

- l) External Auditor (Auditor General of Alberta)

Chair/Vice-Chair

- m) The Committee Chair and Vice-Chair shall be selected from Committee membership Section 4(c) of these Terms of Reference.
- n) The Vice-Chair undertakes and discharges all duties of the Chair in the absence of the Chair.

* 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.

5. Committee Process and Procedures

The Committee:

- a) functions in accordance with the Board of Governors Bylaws.
- b) develops and follows an annual work plan addressing both strategic and routine issues.
- c) has the power to conduct or authorize investigations into any matters within the Committee's scope of responsibilities. The Committee is empowered to retain independent counsel, accountants, or others to assist it in the conduct of any investigation.
- d) annually reviews the terms of reference of the Committee and recommends to the Board Governance Committee any required changes.

6. Reporting to the Board of Governors

The Committee reports regularly to the Board of Governors with respect to its activities and decisions.

Decision History:

<i>DATE</i>	<i>DECISION-MAKER</i>	<i>DECISION</i>
2019-05-27	Board Audit and Risk Committee (Board Audit Committee)	Recommended
2019-06-14	Board of Governors	Approved
2022-03-07	Board Audit and Risk Committee	Recommended
2022-04-27	Board Governance Committee	Recommended
2022-05-13	Board of Governors	Approved



1. Mandate and Role of the Committee – The Board Finance and Property Committee assists the Board of Governors in fulfilling its governance responsibilities by providing strategic oversight, insight and foresight with respect to all significant financial and property matters of the University.

2. Areas of Responsibility

Without limiting the generality of the foregoing, the Committee:

Financial

- a) reviews and monitors quarterly financial statements with respect to operating and capital funds.
- b) reviews and approves capitalization of funds to endowments.
- c) reviews and recommends approval of the annual consolidated budget.
- d) monitors trends and key budget drivers affecting the University and identifies the strategic implications of those trends for the University's future needs.
- e) reviews and recommends sections of the Investment Management Agreement and / or a similar document that aligns with the committee's mandate and role.
- f) reviews, approves, and recommends approval of internal loans, as determined by the university's Internal Loan Policy.
- g) reviews and recommends execution of borrowing resolutions, as required by the Alberta Post-Secondary Learning Act.

Tuition and Fees

- h) reviews and recommends increases to domestic student tuition fees.
- i) reviews and recommends new mandatory non-instructional fees and increases to existing mandatory non-instructional fees when higher than the Academic Price Index (as determined by the March 18, 2016 Board-approved formula)
- j) Reviews and recommends non-credit international support fees, and increases to existing non-credit international support fees
- k) approves new non-regulated exclusion to program fees, and changes to or deletions of existing non-regulated exclusion to program fees.
- l) reviews and recommends approval of international student tuition fees.
- m) approves the collection of fees on behalf of University of Alberta Students' Union and Graduate Students' Association.
- n) reviews the impacts of cost recovery operations on the university's consolidated budget.
- o) reviews and approves parking rate increases, when the projected percentage increase in total parking revenue will exceed the Consumer Price Index (as reported by Statistics Canada as of December 31 in the preceding year).

Facilities, Property and Capital Expenditures

- p) reviews, approves, and recommends approval of capital expenditures, as determined by the University's Capital Expenditure Authorization Request (CEAR) Policy.
- q) reviews and recommends approval of the acquisition or disposition of real property, as determined by the University's Real Property Acquisition and Disposition Procedures and as guided by the Capital Expenditure Authorization Request (CEAR) Policy approval limits.
- r) identifies and monitors trends relating to the University's physical infrastructure, and assesses the strategic impact of trends related to maintenance and life-cycle renewal.
- s) reviews and recommends approval of the capital plan.

- t) reviews and recommends substantive changes to the university's Integrated Asset Management strategy, as such strategy may be amended, amended and restated, replaced, supplemented, or renamed from time-to-time, and receives regular updates on the university's progress on such strategy.
- u) reviews and recommends approval of lands to be transferred to the University of Alberta Properties Trust Inc. as well as accompanying transfer terms and conditions.
- v) reviews and approves the appointment and renewal of terms of office of directors of the University of Alberta Properties Trust Inc.
- w) reviews and recommends the university's long-range development plans, land development plans, and other master plans, including substantive amendments, for university lands, and monitors individual project proposals for implications to the university's long-range planning and strategic vision.
- x) approves the use of funds derived from the sale, lease, or exchange of real property for non-capital purposes.

Information Technology

- y) reviews reports, strategies and plans regarding physical infrastructure and resource optimization for University information technology systems.

Policy and Other Matters

- z) reviews and approves changes to existing University policies relating to the Committee's mandate, subject to the Limitations on Delegation as set out in paragraph 3.
- aa) reviews and recommends new University policies relating to the Committee's mandate, as set out in the University's Policy Development Framework.
- bb) considers enterprise risk and opportunities associated with all items before the Committee and communicates those as needed to the Board Audit and Risk Committee.
- cc) considers other matters at the request of the Board.

3. Limitation on Delegation by the Board of Governors

The Committee functions in accordance with the Principles for Board of Governors Delegation of Authority. The general delegation of authority by the Board to the Committee shall be limited as set out in this paragraph. Notwithstanding the general delegation of authority to the Committee as set out in paragraph 2, the Board approves:

- a) policy changes with significant institutional impact.
- b) new policies relating to the Committee's mandate, as set out in the University's Policy Development Framework.
- c) policies for the control and regulation of pedestrian and vehicle traffic on University lands.
- d) guiding principles for changes to approved budgets and for transfer or reallocation of monies included in approved budgets
- e) the annual consolidated budget.
- f) the Investment Management Agreement and / or a similar document.
- g) internal loans, as determined by the as determined by the university's Internal Loan Policy, and the execution of borrowing resolutions.
- h) domestic and international student tuition fees.
- i) new mandatory non-instructional fees and non-credit international support fees.
- j) increases to mandatory non-instructional fees greater than the Academic Price Index and increases to non-credit international support fees.
- k) capital expenditures as determined by the University's Capital Expenditure Authorization Request Policy.

- l) the acquisition or disposition of real property as determined by the University's Real Property Compliance Policy.
- m) the capital plan.
- n) the Integrated Asset Management Strategy.
- o) lands to be transferred to the University of Alberta Properties Trust Inc., as well as accompanying transfer terms and conditions
- p) the university's long-range development plan, land development plans, and other master plans for university lands, including substantive amendments.
- q) recommendations, and considers information and reports, on matters that in the opinion of the Committee may pose significant risk to the University.

4. Composition

The Committee functions in accordance with the Principles for Board of Governors Standing Committee Composition.

Members

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

Internal Resources

- e) Provost and Vice-President (Academic)
- f) Vice-President (Facilities and Operations)
- g) Vice-President (University Services and Finance)
- h) Vice-President (External Relations)
- i) University Secretary
- j) Committee Secretary
- k) Other resources, as determined by the President or the Committee

Chair/Vice-Chair

- l) The Committee Chair and Vice-Chair shall be selected from Committee membership Section 4(d) of these Terms of Reference.
- m) The Vice-Chair undertakes and discharges all duties of the Chair in the absence of the Chair.

5. Committee Process and Procedures

The Committee:

- a) functions in accordance with the Board of Governors Bylaws.
- b) develops and follows an annual work plan addressing both strategic and routine issues.
- c) annually reviews the terms of reference of the Committee and recommends to the Board Governance Committee any required changes.

6. Reporting to the Board of Governors

The Committee reports regularly to the Board of Governors with respect to its activities and decisions.

Decision History:

<i>DATE</i>	<i>DECISION-MAKER</i>	<i>DECISION</i>
2019-05-28	Board Finance and Property Committee	Recommended
2019-06-14	Board of Governors	Approved
2020-05-26	Board Finance and Property Committee	Recommended
2020-06-19	Board of Governors	Approved
2022-03-10	Board Finance and Property Committee	Recommended
2022-04-27	Board Governance Committee	Recommended
2022-05-13	Board of Governors	Approved



1. Mandate and Role of the Committee – The Board Human Resources and Compensation Committee assists the Board of Governors in fulfilling its governance responsibilities by providing strategic oversight, insight, and foresight with respect to University human resources policies, procedures, and trends; collective bargaining and related service contracts; and senior administration selection, review, compensation, and succession planning.

2. Areas of Responsibility

Without limiting the generality of the foregoing, the Committee:

Employee and Labour Relations

Collective Bargaining

- a) considers and recommends to the Board changes in collective agreements.
- b) reviews and approves the mandates for negotiating committees with all bargaining units.
- c) receives updates on collective bargaining, the administration of collective agreements, and labour relations, and provides feedback and advice to the President.

Excluded Staff

- d) considers and recommends to the Board changes to the Handbook of Terms and Conditions of Employment for Management and Professional Staff (Excluded) (MAPs).
- e) approves changes to market peer groups and salary structures for MAPS and Academic Administrators.

Senior Administration Appointments/Reviews

President

- f) monitors Presidential effectiveness and, through the Chair of the Committee, provides advice to the Chair of the Board on the performance of the President.
- g) annually solicits, reviews and evaluates the comments of the members of the Board with respect to the performance of the President and considers such other data, reports and information as the Committee considers useful.
- h) recommends the President's annual goals and objectives to the Board for approval.
- i) appoints Board members to search and review committees for the President as established under the University's Recruitment Policy and associated procedures.
- j) reviews and recommends the appointment, extension, reappointment and dismissal of the President.
- k) reviews and approves the compensation (initial and changes thereto) and all contractual terms and conditions for the President, prior to the execution thereof or any public announcement.
- l) reviews and recommends changes to the President's executive position description.

Vice-Presidents

- m) reviews and recommends the appointment, extension, reappointments and dismissals of Vice-Presidents.
- n) reviews and approves the compensation (initial and changes thereto) and all material contractual terms and conditions for the Vice-Presidents prior to the execution thereof or any public announcement, on the recommendation of the President.
- o) appoints Board members and external representatives of the Board to advisory search and review committees for Vice-Presidents, as established under the University's Recruitment Policy and associated procedures.
- p) annually provides advice to the President, through the Chair of the Committee, with respect to the responsibilities and performance (in relation thereto) of the Vice-Presidents.

- q) reviews and recommends changes to the Vice-Presidents' executive position descriptions.

Senior Administration

- r) reviews and approves the appointment, extension, reappointments, and dismissals of College Deans and Faculty Deans.
- s) reviews and approves matters of a substantive nature with respect to the procedures for the selection of Deans, as established under the University's Recruitment Policy and associated procedures.
- t) reviews succession plans for senior administration.
- u) annually reviews the performance and approves the compensation of College and Faculty Deans, upon the advice and recommendation of the Provost.
- v) approves the appointment of Killam and Tory Chairs.

The Committee makes recommendations with respect to appointments, extensions, reappointments and dismissals of Vice-Presidents and Deans on the advice and recommendation of the President.

Reports, Advice, Trends

- w) considers trends affecting human resources policies of the University.
- x) receives annual reports on the university's pensions plans and provides feedback to the university representative(s);
- y) approves the nomination of a university representative to the Public Service Pension Plan (PSPP) Corporation Board of Directors, and the appointment of a university representative to the PSPP Sponsor Board, pursuant to the Joint Governance of Public Sector Pension Plans Act.
- z) approves the appointment of a university representative to the Universities Academic Pension Plan (UAPP) Board of Trustees, pursuant to the UAPP Sponsorship and Trust Agreement.
- aa) monitors trends in compensation and benefits for executives, senior administrators, faculty, staff and other employees.
- bb) reviews and provides feedback on regular reports on hiring, retention, and other employment-related matters.
- cc) monitors the performance of the University in the areas of responsibility of the Committee against key strategic performance indicators and reports on this to the Board.

Policy and Other Matters

- dd) reviews and approves changes to existing University policies relating to the Committee's mandate, subject to the Limitations on Delegation as set out in paragraph 3.
- ee) reviews and recommends new University policies relating to the Committee's mandate, as set out in the University's Policy Development Framework.
- ff) considers enterprise risk and opportunities associated with all items before the Committee and communicates those as needed to the Board Audit and Risk Committee.
- gg) considers other matters at the request of the Board.

3. Limitation on Delegation by the Board of Governors

The Committee functions in accordance with the Principles for Board of Governors Delegation of Authority. The general delegation of authority by the Board to the Committee is limited as set out in this paragraph. Notwithstanding the general delegation of authority to the Committee as set out in paragraph 2, the Board approves:

- a) the appointment, extension, reappointment and dismissal of Vice-Presidents and the President.
- b) changes to President and Vice-President executive position descriptions.
- c) goals and objectives for the President.
- d) collective agreements and substantial revisions thereof.

- e) changes to the Handbook of Terms and Conditions of Employment for Management and Professional Staff (Excluded) (MAPS).
- f) policy changes with significant institutional impact, including those related to the remuneration of Deans, Vice-Presidents and the President and other senior members of the Administration of the University.
- g) new policies relating to the Committee's mandate, as set out in the University's Policy Development Framework.
- h) recommendations and considers information and reports on matters that in the opinion of the Committee may pose significant risk to the University.

4. Composition

The Committee functions in accordance with the Principles for Board of Governors Standing Committee Composition.

Members

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*

Internal Resources

- e) Provost and Vice-President (Academic)
- f) Vice-President (University Services and Finance)
- g) Associate Vice-President (Human Resources, Health, Safety and Environment)
- h) University Secretary
- i) Committee Secretary
- j) Other resources, as determined by the President or the Committee

Chair/Vice-Chair

- k) The Committee Chair and Vice-Chair shall be selected from Committee membership Section 4(d) of these Terms of Reference.
- l) The Vice-Chair undertakes and discharges all duties of the Chair in the absence of the Chair.

* 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.

5. Committee Process and Procedures

The Committee:

- a) functions in accordance with the Board of Governors Bylaws.
- b) develops and follows an annual work plan addressing both strategic and routine issues.
- c) annually reviews the terms of reference of the Committee and recommends to the Board Governance Committee any required changes.

6. Reporting to the Board of Governors

The Committee reports regularly to the Board of Governors with respect to its activities and decisions.

Decision History:

<i>DATE</i>	<i>DECISION-MAKER</i>	<i>DECISION</i>
<i>2019-05-28</i>	<i>Board Human Resources and Compensation Committee</i>	<i>Recommended</i>
<i>2019-06-14</i>	<i>Board of Governors</i>	<i>Approved</i>
<i>2022-03-08</i>	<i>Board Human Resources and Compensation Committee</i>	<i>Recommended</i>
<i>2022-04-27</i>	<i>Board Governance Committee</i>	<i>Recommended</i>
<i>2022-05-13</i>	<i>Board of Governors</i>	<i>Approved</i>
<i>2022-06-17</i>	<i>Board of Governors</i>	<i>Approved (re delegation of College Dean appts)</i>



CLOSED SESSION ITEM NO. 8e

Decision **Discussion** **Information**

ITEM OBJECTIVE: To approve revisions to the university’s review and selection procedures for the President of the university, along with the appendix to those procedures. Revisions to these documents are intended to bring them into alignment with the balance of the university’s *Recruitment and Selection of Employees Policy* suite (the "**Recruitment Policy**"), which was amended in 2020 to incorporate principles of equity, diversity, and inclusivity (EDI).

DATE	December 8, 2023
TO	Board of Governors
RESPONSIBLE PORTFOLIO	University Governance

MOTION: THAT the Board of Governors, on the recommendation of the Board Human Resources and Compensation Committee, approve proposed revisions to the *Presidential Review Procedure*, *Presidential Search Procedure*, and *Presidential Search and Review Procedures (Appendix A): Committees for President Position Definitions and Eligibility*, as set forth in Attachment 1.

EXECUTIVE SUMMARY:

Background

In June 2020, the Board of Governors approved revisions to the university’s [Recruitment Policy](#) suite in light of the mandate for policy review set out in the *Strategic Plan for Equity, Diversity and Inclusivity* (EDI Strategic Plan), which was approved in 2018.

The 2020 policy suite changes were intended to ensure that recruitment and employment processes were equitable and inclusive and conducive to achieving greater diversity of the university community by:

- Incorporating EDI principles and practices for recruitment and selection processes,
- Remedying known exclusions and gaps in the current policy and procedures, and
- Improving clarity and consistency across the current policy and procedures.

The changes to practice included:

- Clarification of principles for equitable recruitment and decision making processes,
- Revision of requirements for committee composition to ensure diversity and inclusion,
- Requirements for training on equity, anti-discrimination and bias-awareness, and
- Emphasis of requirements for declaration of conflict of interest to ensure fairness.

At the time that policy suite changes were being developed and considered in 2020, the university was also in the middle of a presidential search process, and so the presidential search/review procedures and appendix were not included within the Recruitment Policy suite changes.

Analysis / Discussion

Before the university engages in the next review or search process for the President of the university, University Governance wishes to align the *Presidential Review Procedure*, *Presidential Search Procedure*, and *Presidential Search and Review Procedures (Appendix A): Committees for President Position Definitions and Eligibility* with the rest of the Recruitment Policy suite.

GOVERNANCE OUTLINE



CLOSED SESSION ITEM NO. 8e

The proposed EDI-related changes are consistent with Board-approved changes to the vice-president search/review procedures and appendix. Additional updates are being proposed to remove inconsistencies and duplication between documents.

Because the proposal involves changes to the recruitment process for the university president, Board of Governors’ approval is recommended.

Risk Discussion / Mitigation of the Risk

Alignment of the search/review procedures and related appendix for the office of the President with the Recruitment Policy as updated in 2020 helps ensure consistent recruitment processes across all levels of employees.

Next Steps

Once approved, and before the university engages in the next review or search process for the university President, the procedures and appendix will be posted to the University of Alberta Policies and Procedures Online (UAPPOL) website to guide the next process.

Supporting Materials:

1. Revised *Presidential Review Procedure, Presidential Search Procedure, and Presidential Search and Review Procedures (Appendix A): Committees for President Position Definitions and Eligibility* (15 pages) – redlined – **for approval**
2. Revised *Presidential Review Procedure, Presidential Search Procedure, and Presidential Search and Review Procedures (Appendix A): Committees for President Position Definitions and Eligibility* (13 pages) – clean
3. Governance Executive Summary with respect to the changes to the Recruitment Policy made in 2020, including details with respect to the consultation and stakeholder participation at that time (4 pages)

SCHEDULE A:

Engagement and Routing

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

Those who are actively participating:

- Kate Chisholm, Chair, Board of Governors
- John Lemieux, University Secretary
- Juli Zinken, Board Secretary and Manager of Board Services
- Carrie Smith, Vice-Provost (Equity, Diversity and Inclusion)

Approval Route:

- Board Human Resources & Compensation Cttee (Nov 21, 2023) – for recommendation
- Board of Governors (December 8, 2023) – for approval



CLOSED SESSION ITEM NO. 8e

Supplementary Notes / Context:

At its meeting on November 21, 2023, the Board Human Resources and Compensation Committee recommended a minor amendment to the second line of the first paragraph of the presidential review and search procedures: to change “By adopting EDI principles and practices into its President <review/search> process” to “By adopting EDI principles and practices into its <review/search> processes”. This change is reflected in the material before the Board of Governors.

Pursuant to s. 4.04 of the Collective Agreement made between The Governors of the University of Alberta (the "Board") and The Association of the Academic Staff of the University of Alberta ("AASUA") as ratified on March 8, 2022 (the "Collective Agreement"), the Board will not adopt, change or implement policies or procedures that affect the terms and conditions of employment of Staff Members (as such term is defined in the Collective Agreement) without the prior consultation with the AASUA. The proposed revisions were shared with AASUA for information on November 23, 2023.



Original Approval Date: December 11, 2009
 Most Recent Approval: December 13, 2013
 Parent Policy: [Recruitment and Selection of Employees Policy](#)

Presidential Review Procedure

Office of Administrative Responsibility:	University Governance
Approver:	Board of Governors
Scope:	Compliance with University procedure extends to all members of the University community

OVERVIEW

The University of Alberta ("University") is committed to appointing the best-qualified candidates for its President and aspires to achieve an **equitable, diverse and inclusive** community of **senior administrators and employees** consistent with the mission set out in its Strategic Plan for Equity, Diversity and Inclusivity ("EDI Strategic Plan"). By adopting EDI principles and practices into its review processes, the University hopes to achieve **diversity** in the workplace and correct employment disadvantages experienced by **persons historically under-represented at the University**. These principles and practices are designed to ensure that access to the University's employment opportunities is equitable and inclusive by removing employment-related barriers - particularly those based on **protected grounds**. This will require periodic assessment of demographic, intellectual, and other aspects of diversity when conducting a review. Committees must consider any diversity-related issues that exist with respect to the relevant employee group and must consider what steps it may reasonably take to address those issues.

~~These authorities over procedures related to the appointment of academic staff embrace senior administrators including the President, Vice-Presidents, Deans and Department Chairs~~

PURPOSE

To detail the procedure for review of the ~~University~~ President.

PROCEDURE



1. REQUEST FOR CONSIDERATION OF RENEWAL

- a. The incumbent President shall advise the Chair of the **Board** (“Board Chair”) of their request for consideration of renewal for an additional term. This request shall be received by the Board Chair not less than 18 months prior to the end of the incumbent President’s term. Exceptions may be granted at the discretion of the Board Chair
- b. Promptly upon receiving such request the Board Chair shall establish a committee (the “Review Committee”) in accordance with the following procedures.

12. COMPOSITION OF REVIEW COMMITTEE FOR PRESIDENTS

- a. ~~The A Review C~~ommittee’s composition shall be ~~the same as a search committee’s composition, and it will be organized in accordance with as set out in the Presidential Search and Review Procedure (Appendix A): Committees for President Position Definitions and Eligibility (UAPPOL).~~
- b. The University Secretary is responsible for:
 - i. ~~drawing together the R~~review ~~C~~ommittee;
 - ii. ~~to the extent possible, ensuring that Review Committee membership is inclusive of persons historically under-represented and mindful of demographic diversity;~~
 - iii. ~~where necessary, appointing an additional member in consultation with the comprised Review Committee to ensure diversity (see the Presidential Search and Review Procedures Appendix A); and~~
 - iv. ~~and~~ for ensuring that the ~~Review e~~Committee positions are properly replenished.
- c. The Board Chair will consult the incumbent President on the composition of the Review Committee to assess potential or perceived conflicts of interest. The Board Chair will have the authority to assess whether any real or perceived conflict of interest can be managed. If the **conflict** cannot be managed effectively, the Board Chair may replace a Review Committee member.

32. ELECTION PROCEDURES FOR ACADEMIC STAFF MEMBERS OF THE SEARCH REVIEW COMMITTEE

a. NOMINATION PROCESS

- i. ~~Elections will be managed by the General Faculties Council (GFC) Secretary (or their delegate) using a process that is fair and transparent.~~
- b. ~~The Secretary to GFC (or delegate) shall notify all academic staff in Staff Category A1.0 through a notice as set out in 2(a)(ii) of the following:~~
- c. ~~Nominations for certain Categories of academic staff who do not hold administrative positions, are being sought;~~
- d. ~~Nominations must be received by University Governance by a specified date;~~
- e. ~~Nominees must agree to let their name stand; and~~
- f. ~~All nominations must be supported by the signatures of five members of the academic staff in Staff Category A1.0, not including the nominee.~~
- g. ~~The notice shall be published in Folio; however, the Secretary (or delegate) is permitted to use alternate means (for example, electronic mail or the web) if circumstances warrant such means.~~
- h. ~~At least two weeks must elapse from the day the Secretary (or delegate) first notifies the academic staff of the call for nominations.~~
- i. ~~NUMBER OF BALLOTS REQUIRED~~

- ~~j. When electing (3) faculty members from Staff Categories A1.1, A1.6 and their counterparts in A1.5 and A1.7 (only faculty members employed at the University under the terms and conditions of the Faculty Agreement are eligible):~~
- ~~k. If there are between four and seven nominees, one election will be held.~~
- ~~l. If there are eight or more nominees, a preliminary election must be held with the six top candidates standing for election in a final ballot. In both elections, the three candidates with the highest number of votes will be elected.~~

~~m.b. ELECTORATE~~

- ~~i. The electorate consists of the elected faculty representatives who sit on GFC on a “representation by population” basis and the appointed academic staff representatives.~~

~~a) PREPARATION OF BALLOTS~~

- ~~i. The Secretary (or delegate) will prepare the ballot form with relevant instructions for the election, listing nominees in alphabetical order. Only those eligible voting members will be provided with access to a confidential ballot. At the closure of the election period, the Secretary (or delegate) will ensure that electronic tabulation of the voting ballots occurs, with election results confirmed shortly thereafter.~~
- ~~ii. Candidates for election will be asked to provide a brief biographical and professional description, not exceeding 150 words, to be circulated with the ballot.~~
- ~~iii. The ballots will be made available by the Secretary (or delegate) and accompanied by clear voting instructions to ensure successful access to the ballot prior to the election voting deadline.~~
- ~~iv. When voting for three (3) faculty members from Staff Categories A1.1, A1.6 and their counterparts in A1.5 and A1.7, each voter will be permitted to vote for up to (and including) three (3) candidates.~~
- ~~v. The date and time by which the ballots must be received by University Governance will be clearly marked on the ballot.~~

~~b) THE BALLOT COUNT~~

- ~~i. The Secretary (or delegate) will ensure the candidates are aware of the election end date and time of ballot tabulation.~~
- ~~ii. At least 50% of ballots must be received before the ballots will be tallied.~~
- ~~iii. Each candidate may name a scrutineer to observe the tabulation of election results.~~
- ~~iv. In the event of a tie vote, a run-off election will be held. In the event of a second tie vote, the winner will be determined by lot.~~
- ~~v. After completion of the election, the ballot data is stored by the Secretary (or delegate) for one month and then destroyed.~~

34. REVIEW PROCEDURES FOR PRESIDENTS

~~a. In the event that the President stands for reappointment, the Board will call for the structuring of a review committee. The Board will provide the review committee with guidelines and procedures for a fair and equitable review process that strives to ensure all members can contribute.~~

~~b. The University Secretary is responsible for:~~

- ~~i. making Review Committee members aware of their obligations under applicable University policy, in particular, the **University’s Employment Equity Statement**, the *Discrimination, Harassment and Duty to Accommodate Policy*, and the *EDI Strategic Plan* all as may be amended from time to time; and~~

- ii. providing Review Committee members with applicable resources, including but not limited to training offered by the Office of the Vice-Provost (Equity, Diversity and Inclusion). Notwithstanding the foregoing, Review Committee members are responsible for awareness of equity, anti-discrimination and bias, and knowledge of relevant policies and procedures.
- c. Review Committee members are responsible for familiarizing themselves with:
 - i. the principles of equity, diversity and inclusivity;
 - ii. concepts of bias awareness, and discrimination; and
 - iii. the obligations under applicable University policies and statements, in particular, the *Discrimination, Harassment and Duty to Accommodate Policy*, the *University's Employment Equity Statement* and the *EDI Strategic Plan* all as may be amended from time to time.
- c. Conflict of Interest:
 - i. Review Committee Members shall abide by the Statement of Ethical Conduct, in particular, with respect to management of conflict throughout the process.
 - ii. All Review Committee members must consider potential conflicts of interest. Review Committee members will be asked to complete conflict of interest declarations, and any identified real or perceived conflicts of interest must be managed in accordance with the University's *Conflict Policy* and its associated procedures.

5. RECOMMENDATIONS TO THE BOARD

- a. The ~~Review~~ ~~Committee~~ will provide its recommendation to the Board Chair, who will then present the recommendation to the Board Human Resources and Compensation Committee (BHRCC).
- ~~a.b.~~ If a positive recommendation is made by the Review Committee, the Board Chair and Vice-Chair, ~~of the Board of Governors and along with the Chair of the BHRCC, of the Board Human Resources and Compensation Committee (BHRCC), who~~ will then determine, by confidential interview with the incumbent President, whether ~~his or her~~ their compensation and benefits expectations fall within the Board guidelines.
- ~~b.c.~~ The BHRCC will make a recommendation to the Board ~~of Governors~~ respecting the reappointment of the ~~recommended candidate~~ incumbent President. The ~~Committee~~ BHRCC shall also consider and approve the compensation and benefits for the ~~incumbent President~~ recommended candidate, subject to approval of the reappointment by the Board of Governors.
- ~~c.d.~~ The Board Chair ~~of the Board of Governors~~ will then present the recommendation of BHRCC to the Board.
- ~~d.e.~~ The Board will then decide upon the recommendation.

DEFINITIONS

Any definitions listed in the following table apply to this document only with no implied or intended institution-wide use.		▲Top
<u>Board</u>	<u>The Board of Governors of the University as established or continued pursuant to the <i>Post-secondary Learning Act of Alberta</i>.</u>	

<u>conflict</u>	<u>Conflict of interest, conflict of commitment, or institutional conflict as U of A Policies and Procedures On-Line (UAPPOL) defined in the <i>University of Alberta Conflict Policy – Conflict of Interest and Commitment and Institutional Conflict Policy</i></u>
<u>diversity</u>	<u>In the context of this policy, diversity refers to the demographic and identity difference and variety within the University’s workforce, including that based on the protected grounds. More broadly, within the University, diversity also encompasses difference or variety in education, ideas, perspectives, opinions, heuristics, disciplines, methodologies, epistemologies, faculties, skills, and learning opportunities.</u>
<u>employee(s)</u>	<u>A person employed by the University and defined under <i>Recruitment Policy (Appendix A) Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff or Recruitment Policy (Appendix B) Definition and Categories of Support Staff.</i></u>
<u>equity/equitable</u>	<u>In the context of this policy, equity is about fair access to employment and the opportunity to succeed in this domain. <i>Employment equity principles, policies, and practices promote [or facilitate] access, representation, opportunities, and meaningful participation of persons historically underrepresented.</i></u>
<u>inclusion/inclusivity</u>	<u>In the context of this policy, inclusion is a principle and practice that values and cultivates the full and meaningful participation and representation of persons historically under-represented in the University’s workforce.</u>
<u>persons historically under-represented</u>	<u>Women, Indigenous persons (First Nations, Métis, Inuit), members of visible minority groups, persons with disabilities, persons who identify with under-represented sexual orientations, gender identity or expression.</u>
<u>President</u>	<u>The President of the University appointed by the Board pursuant to s.81 of the <i>Post-secondary Learning Act</i> of Alberta as may be amended from time to time.</u>
<u>protected grounds</u>	<u>Refers to those grounds set out and defined in the <i>Alberta Human Rights Act</i> and in the University’s <i>Discrimination, Harassment and Duty to Accommodate Policy</i> (UAPPOL) which are: race, religious beliefs, colour, gender, gender identity, gender expression, physical disability, mental disability, age, ancestry, place of origin, marital status, source of income, family status, sexual orientations or political beliefs.</u>

<u>senior administrators</u>	<u>President, Vice-Presidents, Deputy Provost, Associate Vice-Presidents, College Deans and Vice-Provosts, Vice-Provosts, Faculty Deans, Directors, and Chairs.</u>
<u>University Employment Equity Statement</u>	<u>“The University of Alberta is committed to an equitable, diverse, and inclusive workforce. We welcome applications from all qualified persons. We encourage women; First Nations, Métis and Inuit; members of visible minority groups; persons with disabilities; persons of any sexual orientations or gender identity and expression; and all those who may contribute to the further diversification of ideas and the University to apply.”</u>
<u>Staff Categories A1.0, A1.6 and their counterparts in A1.5 and A1.7</u>	<u>Refer to UAPPOL Recruitment Policy (Appendix A) Definition and Categories of Academic Staff and Colleagues</u>

RELATED POLICIES, FRAMEWORKS, AND PROCEDURES

If any links are broken, please contact uappol@ualberta.ca	[▲Top]
<p>Recruitment Policy (Appendix A) Definition and Categories of Academic Staff and Colleagues (UAPPOL)</p> <p>Presidential Search and Review Procedure (Appendix A): Committees for President Position Definitions and Eligibility (UAPPOL)</p> <p>Presidential Search Procedure (UAPPOL)</p>	

RELATED LINKS

If any links are broken, please contact uappol@ualberta.ca	[▲Top]
No related links for this procedure	

Original Approval Date: December 11, 2009
 Most Recent Approval: December 13, 2013
 Parent Policy: [Recruitment and Selection of Employees Policy](#)

Presidential Search Procedure

Office of Administrative Responsibility:	University Governance
Approver:	Board of Governors
Scope:	Compliance with University procedure extends to all members of the University community

OVERVIEW

The University of Alberta (“University”) is committed to appointing the best-qualified candidate for its President and aspires to achieve an **equitable, diverse and inclusive** community of **senior administrators and employees** consistent with the mission set out in its Strategic Plan for Equity, Diversity and Inclusivity (“EDI Strategic Plan”). By adopting EDI principles and practices into its search processes, the University hopes to achieve **diversity** in the workplace and correct employment disadvantages experienced by **persons historically under-represented at the University**. These principles and practices are designed to ensure that access to the University’s employment opportunities is equitable and inclusive by removing employment-related barriers, particularly those based on **protected grounds**. This will require periodic assessment of demographic, intellectual, and other aspects of diversity when contemplating a search. Committees must consider any diversity related issues that exist with respect to the relevant employee group and must consider what steps it may reasonably take to address those issues.

~~These authorities over procedures related to the appointment of academic staff embrace senior administrators including the President, Vice-Presidents, Deans and Department Chairs.~~

PURPOSE

To detail the procedure for search and selection of the ~~University~~ President.

PROCEDURE

1. COMPOSITION OF SEARCH COMMITTEE ~~FOR PRESIDENTS~~
 - a. ~~The composition of A~~ presidential search committee (the “Search Committee”) shall be ~~organized in accordance with~~ as set out in the *Presidential Search and*

Review Procedure (Appendix A): Committees for President Position Definitions and Eligibility (UAPPOL).

- b. The University Secretary is responsible for:
 - i. drawing together the ~~s~~Search ~~C~~ommittee;
 - ii. to the extent possible, ensuring that Search Committee membership is inclusive of persons historically under-represented and mindful of demographic diversity;
 - iii. where necessary, appointing an additional member in consultation with the comprised Search Committee to ensure diversity (see the Presidential Search and Review Procedures Appendix A); and
 - iv. and for ensuring that the ~~Search e~~Committee positions are properly replenished.

2) ELECTION PROCEDURES FOR ACADEMIC STAFF MEMBERS OF THE SEARCH COMMITTEE

a. NOMINATION PROCESS

- i. Elections will be managed by the General Faculties Council (GFC) Secretary (or their delegate) using a process that is fair and transparent.
- ~~i. The Secretary to GFC (or delegate) shall notify all academic staff in **Staff Category A1.0** through a notice as set out in 2(a)(ii) of the following:~~
 - ~~• Nominations for certain categories of academic staff who do not hold administrative positions, are being sought;~~
 - ~~• Nominations must be received by University Governance by a specified date;~~
 - ~~• Nominees must agree to let their name stand; and~~
 - ~~• All nominations must be supported by the signatures of five members of the academic staff in Category A1.0, not including the nominee.~~
- ~~ii. The notice shall be published in *Folio*; however, the Secretary (or delegate) is permitted to use alternate means (for example, electronic mail or the web) if circumstances warrant such means.~~
 - ~~• At least two weeks must elapse from the day the Secretary (or delegate) first notifies the academic staff of the call for nominations.~~

b. NUMBER OF BALLOTS REQUIRED

- ~~i. When electing (3) faculty members from Staff Categories A1.1, A1.6 and their counterparts in A1.5 and A1.7 (only faculty members employed at the University under the terms and conditions of the Faculty Agreement are eligible):~~
 - ~~• If there are between four and seven nominees, one election will be held.~~
 - ~~• If there are eight or more nominees, a preliminary election must be held with the six top candidates standing for election in a final ballot. In both elections, the three candidates with the highest number of votes will be elected.~~

b. ELECTORATE

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

c. PREPARATION OF BALLOTS

- ~~i. The Secretary (or delegate) will prepare the ballot form with relevant instructions for the election, listing nominees in alphabetical order. Only those eligible voting members will be provided with access to a confidential ballot. At the closure of the election period, the Secretary (or delegate) will ensure that electronic tabulation of the voting ballots occurs, with election results confirmed shortly thereafter.~~
- ~~ii. Candidates for election will be asked to provide a brief biographical and professional description, not exceeding 150 words, to be circulated with the ballot.~~
- ~~iii. The ballots will be made available by the Secretary (or delegate) and accompanied by clear voting instructions to ensure successful access to the ballot prior to the election voting deadline.~~
- ~~iv. When voting for three (3) faculty members from staff Categories A1.1, A1.6 and their counterparts in A1.5 and A1.7, each voter will be permitted to vote for up to (and including) three (3) candidates.~~
- ~~v. The date and time by which the ballots must be received by University Governance will be clearly marked on the ballot.~~

~~c. THE BALLOT COUNT~~

- ~~i. The Secretary (or delegate) will ensure that the candidates are aware of the election end date and time of ballot tabulation.~~
- ~~ii. At least 50% of ballots must be received before the ballots will be tallied.~~
- ~~iii. Each candidate may name a scrutineer to observe the tabulation of election results.~~
- ~~iv. In the event of a tie vote, a run-off election will be held. In the event of a second tie vote, the winner will be determined by lot.~~
- ~~v. After completion of the election, the ballot data is stored by the Secretary (or delegate) for one month and then destroyed.~~

3) SEARCH PROCEDURES FOR PRESIDENTS

- a. The **Board** will provide the Search Committee with guidelines and procedures that will demonstrate a fair and equitable recruitment and assessment of candidates, and a process that strives to ensure all members can contribute.
- b. The Board will provide the Chair of the Board ("Board Chair") with compensation and benefits guidelines with respect to the appointment.
- c. The Board Chair will decide whether a search consultant should be retained and may seek advice from the **Advisory** Search Committee on this matter.
 - i. The consultant should demonstrate expertise in principles of equity, diversity and inclusivity and the same should be reflected in their own organization. The requirement for this expertise should be included in the advertisement.
 - ii. The consultant will agree to conduct their search with goals of attracting the best-qualified candidates and achieving an equitable, diverse and inclusive community of senior administrators.
- d. The University Secretary is responsible for:
 - i. drawing together the Search Committee;
 - ii. making Search Committee members aware of their obligations under applicable University policy, the **University's Employment Equity Statement** and the *Discrimination, Harassment and Duty to Accommodate Policy*, and the *EDI Strategic Plan* all as may be amended from time to time; and

- iii. providing Search Committee members with applicable resources, including but not limited to training offered by the Office of the Vice-Provost (Equity, Diversity and Inclusion). Search Committee members are responsible for awareness of equity, anti-discrimination and bias, and knowledge of relevant policies and procedures.
- e. Search Committee members are responsible for familiarizing themselves with:
 - i. the principles of equity, diversity and inclusivity;
 - ii. concepts of bias awareness, and discrimination; and
 - iii. the obligations under applicable University policies and statements, in particular, the *Discrimination, Harassment and Duty to Accommodate Policy*, the *University's Employment Equity Statement* and the *EDI Strategic Plan* all as may be amended from time to time.
- f. Conflict of Interest:
 - i. Search Committee members shall abide by the Statement of Ethical Conduct, in particular, with respect to management of **conflict** throughout the process.
 - ii. All Search Committee members should consider potential conflicts of interest. Search Committee members will be asked to complete conflict of interest declarations, and any identified real or perceived conflicts of interest must be managed in accordance with the University's *Conflict Policy* and its associated procedures.

4) RECOMMENDATIONS TO THE BOARD

- a. The Search Committee will recommend one nominee-candidate for President to the Board Chair and Vice-Chair ~~of the Board of Governors, and along with~~ the Chair of the Board Human Resources and Compensation Committee ("BHRCC"), who will then determine, by confidential interview with the nomineecandidate, whether ~~his or her~~their compensation and benefits expectations fall within the Board guidelines, and also if the nominee-candidate is prepared to cooperate in a systematic assessment of ~~his or her~~their performance during ~~his or her~~their term or any renewals thereof.
- b. Where the nominee-candidate is from outside the University and is also seeking an academic staff appointment, the Search Committee ~~established for the administrative position of President~~ shall request that the **Faculty Selection Advisory Committee** make the recommendation in relation to the academic staff appointment.
- c. The BHRCC will make a recommendation to the Board ~~of Governors~~ respecting the appointment of the recommended candidate. ~~The Committee~~BHRCC shall also consider and approve the compensation and benefits for the recommended candidate, subject to approval of the appointment by the Board ~~of Governors~~.
- d. The Board Chair ~~of the Board of Governors~~ will then present ~~the name of~~ the candidate recommended by BHRCC to the Board ~~of Governors~~.
- e. The Board may appoint the nomineerecommended candidate, or return the matter to the search committee.

DEFINITIONS

<p>Any definitions listed in the following table apply to this document only with no implied or intended institution-wide use.</p>	<p>[▲Top]</p>
<p><u>Board</u></p>	<p><u>The Board of Governors of the University as established or continued pursuant to the <i>Post-secondary Learning Act of Alberta</i>.</u></p>
<p><u>conflict</u></p>	<p><u>Conflict of interest, conflict of commitment, or institutional conflict as U of A Policies and Procedures On-Line (UAPPOL) defined in the <i>University of Alberta Conflict Policy – Conflict of Interest and Commitment and Institutional Conflict Policy</i></u></p>
<p><u>diversity</u></p>	<p><u>In the context of this policy, diversity refers to the demographic and identity difference and variety within the University’s workforce, including that based on the protected grounds. More broadly, within the University, diversity also encompasses difference or variety in education, ideas, perspectives, opinions, heuristics, disciplines, methodologies, epistemologies, faculties, skills, and learning opportunities.</u></p>
<p><u>employee(s)</u></p>	<p><u>A person employed by the University and defined under <i>Recruitment Policy (Appendix A) Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff or Recruitment Policy (Appendix B) Definition and Categories of Support Staff</i>.</u></p>
<p><u>equity/equitable</u></p>	<p><u>In the context of this policy, equity is about fair access to employment and the opportunity to succeed in this domain. Employment equity principles, policies, and practices promote [or facilitate] access, representation, opportunities, and meaningful participation of persons historically underrepresented.</u></p>
<p><u>Faculty Selection Advisory Committee</u></p>	<p><u>As set-forth in the <i>Academic Selection Procedure (UAPPOL)</i>.</u></p>
<p><u>inclusion/inclusivity</u></p>	<p><u>In the context of this policy, inclusion is a principle and practice that values and cultivates the full and meaningful participation and representation of persons historically under-represented in the University’s workforce.</u></p>
<p><u>persons historically under-represented</u></p>	<p><u>Women, Indigenous persons (First Nations, Métis, Inuit), members of visible minority groups, persons with disabilities, persons who identify with under-represented sexual orientations, gender identity or expression.</u></p>

<u>President</u>	<u>The President of the University appointed by the Board pursuant to s.81 of the <i>Post-secondary Learning Act</i> of Alberta as may be amended from time to time.</u>
<u>protected grounds</u>	<u>Refers to those grounds set out and defined in the <i>Alberta Human Rights Act</i> and in the University's <i>Discrimination, Harassment and Duty to Accommodate Policy</i> (UAPPOL) which are: race, religious beliefs, colour, gender, gender identity, gender expression, physical disability, mental disability, age, ancestry, place of origin, marital status, source of income, family status, sexual orientations or political beliefs.</u>
<u>senior administrators</u>	<u>President, Vice-Presidents, Deputy Provost, Associate Vice-Presidents, College Deans and Vice-Provosts, Vice-Provosts, Faculty Deans, Directors, and Chairs.</u>
<u>University Employment Equity Statement</u>	<u>"The University of Alberta is committed to an equitable, diverse, and inclusive workforce. We welcome applications from all qualified persons. We encourage women; First Nations, Métis and Inuit; members of visible minority groups; persons with disabilities; persons of any sexual orientations or gender identity and expression; and all those who may contribute to the further diversification of ideas and the University to apply."</u>
<u>Staff Category A1.0, A1.1, A1.6, and their counterparts in A1.5 and A1.7</u>	<u>Refer to UAPPOL Recruitment Policy (Appendix A) Definition and Categories of Academic Staff and Colleagues</u>

RELATED POLICIES, FRAMEWORKS, AND PROCEDURES

If any links are broken, please contact uappol@ualberta.ca	[▲]top
<p>Recruitment Policy (Appendix A) Definition and Categories of Academic Staff, Administrators and Colleagues (UAPPOL)</p> <p>Presidential Search and Review Procedure (Appendix A): Committees for President Position Definitions and Eligibility (UAPPOL)</p> <p>Presidential Review Procedure (UAPPOL)</p>	

Original Approval Date: December 11, 2009
 Most Recent Approval: March 14, 2014
 Most Recent Editorial Date: n/a
 Parent Policy: [Recruitment and Selection of Employees Policy](#)

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

Office of Accountability:	University Governance
Office of Administrative Responsibility:	University Governance
Approver:	Board of Governors

COMPOSITION OF ~~ADVISORY~~ SEARCH AND REVIEW COMMITTEES FOR PRESIDENT:

Refer to *Recruitment Policy (Appendix A) Definition and Categories of Academic Staff and Colleagues* (UAPPOL).

In the case of Review Committees, the Board Chair will consult the incumbent President under review on the composition of the Review Committee to assess potential or perceived conflicts of interest. The Board Chair will have the authority to assess whether any real or perceived conflict of interest can be managed. If the conflict cannot be managed effectively, the Board Chair may replace a Review Committee member.

1. ~~PRESIDENT~~COMMITTEE COMPOSITION

- a. Chair of the Board of Governors as Chair of the Committee
- b. Chancellor of the University
- c. Two members of the Board of Governors appointed by the Board
- d. ~~Three Academic Staff Members. Three faculty members from Categories A1.1, A1.6, or their counterparts in A1.5 and A1.7 (that is, only faculty members employed at the University under the terms and conditions of the Faculty Agreement are eligible), who do not hold administrative positions as defined in Section 2,~~ elected by the electorate

Presidential Search and Review Procedures Appendix A: Committees for President Position Definitions and Eligibility (UAPPOL) | Page 1

~~as defined in the Presidential Search and Review Procedures faculty and the appointed academic staff representatives on GFC.~~

- e. One Faculty Dean elected by Deans' Council
- f. One Chair elected by Chairs' Council
- g. One member of the AASUA Association of Academic Staff University of Alberta (the "AASUA") appointed by the AASUA
- h. Two members of the Students' Union appointed by the Students' Council
- i. One member of the Graduate Students' Association (the "GSA") appointed by the GSA.
- j. One member of the Non-Academic Staff Association (the "NASA") as appointed by the NASA.
- k. One member of the Alumni Association appointed by the Alumni Association

For a list of staff who are not eligible to serve on the advisory search and review committees for the President, please see Section 2.

Total: Fifteen (15) members

2. STAFF WHO ARE NOT ELIGIBLE TO SERVE ON ADVISORY SEARCH AND REVIEW COMMITTEES FOR PRESIDENT

- a. Staff who are on leave are not eligible to serve on advisory search and review committees for President. The term leave includes: administrative leave, sabbatical, political, medical, parental, childbirth, disability, assisted, secondment.
- b. All employees described in Categories A1.0, A2.0, D1.0, D1.1, and D1.2 of the Recruitment Policy (Appendix A) Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff Staff who hold the following administrative positions at the time of the initial nomination are not eligible to serve:

Vice-President; Deputy Provost; Associate or Assistant Vice-President; College Dean and Vice-Provost; Faculty Dean; Associate, ~~or~~ Assistant, or Vice-Dean; or Department Chair (excluding those members elected by Deans' Council and Chairs' Council); or positions in conflict of interest such as direct reports.

3. COMMITTEE BALANCE

At the first meeting of the a committee, the matter of the committee's composition will be addressed to ensure that the committee is balanced, ~~and~~ broad-based (both internally and externally), and inclusive of persons historically under-represented at the University. If some imbalance is evident, the committee can instruct the Chair to consult with the Chair of the Board's Human Resources and Compensation Committee and the Chair of the GFC Nominating Committee to find a solution for the committee's consideration.

DEFINITIONS

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

[\[▲top\]](#)

There are no definitions for this Appendix.

RELATED FRAMEWORKS, PROCEDURES AND GUIDELINES

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

[\[▲top\]](#)

[Recruitment Policy \(Appendix A\) Definition and Categories of Academic Staff, Administrators and Colleagues \(UAPPOL\)](#)



Original Approval Date:	December 11, 2009
Most Recent Approval:	December 13, 2013
Parent Policy:	Recruitment and Selection of Employees Policy

Presidential Review Procedure

Office of Administrative Responsibility:	University Governance
Approver:	Board of Governors
Scope:	Compliance with University procedure extends to all members of the University community

OVERVIEW

The University of Alberta ("University") is committed to appointing the best-qualified candidates for its President and aspires to achieve an **equitable, diverse** and **inclusive** community of **senior administrators** and **employees** consistent with the mission set out in its Strategic Plan for Equity, Diversity and Inclusivity ("EDI Strategic Plan"). By adopting EDI principles and practices into its review processes, the University hopes to achieve **diversity** in the workplace and correct employment disadvantages experienced by **persons historically under-represented at the University**. These principles and practices are designed to ensure that access to the University's employment opportunities is equitable and inclusive by removing employment-related barriers - particularly those based on **protected grounds**. This will require periodic assessment of demographic, intellectual, and other aspects of diversity when conducting a review. Committees must consider any diversity-related issues that exist with respect to the relevant employee group and must consider what steps it may reasonably take to address those issues.

PURPOSE

To detail the procedure for review of the President.

PROCEDURE

1. REQUEST FOR CONSIDERATION OF RENEWAL

- a. The incumbent President shall advise the Chair of the **Board** ("Board Chair") of their request for consideration of renewal for an additional term. This request shall be

- received by the Board Chair not less than 18 months prior to the end of the incumbent President's term. Exceptions may be granted at the discretion of the Board Chair
- b. Promptly upon receiving such request the Board Chair shall establish a committee (the "Review Committee") in accordance with the following procedures.

2. COMPOSITION OF REVIEW COMMITTEE

- a. The Review Committee's composition shall be as set out in the *Presidential Search and Review Procedure (Appendix A): Committees for President Position Definitions and Eligibility* (UAPPOL).
- b. The University Secretary is responsible for:
 - i. drawing together the Review Committee;
 - ii. to the extent possible, ensuring that Review Committee membership is inclusive of persons historically under-represented and mindful of demographic diversity;
 - iii. where necessary, appointing an additional member in consultation with the comprised Review Committee to ensure diversity (see the *Presidential Search and Review Procedures Appendix A*); and
 - iv. for ensuring that the Review Committee positions are properly replenished.
- c. The Board Chair will consult the incumbent President on the composition of the Review Committee to assess potential or perceived conflicts of interest. The Board Chair will have the authority to assess whether any real or perceived conflict of interest can be managed. If the **conflict** cannot be managed effectively, the Board Chair may replace a Review Committee member.

3. ELECTION PROCEDURES FOR ACADEMIC STAFF MEMBERS OF THE REVIEW COMMITTEE

- a. NOMINATION PROCESS
 - i. Elections will be managed by the General Faculties Council (GFC) Secretary (or their delegate) using a process that is fair and transparent.
- b. ELECTORATE
 - i. The electorate consists of the elected faculty representatives who sit on GFC on a "representation by population" basis and the appointed academic staff representatives.

4. REVIEW PROCEDURES FOR PRESIDENTS

- a. The Board will provide the Review Committee with guidelines and procedures for a fair and equitable review process that strives to ensure all members can contribute.
- b. The University Secretary is responsible for:
 - i. making Review Committee members aware of their obligations under applicable University policy, in particular, the **University's Employment Equity Statement**, the *Discrimination, Harassment and Duty to Accommodate Policy*, and the *EDI Strategic Plan* all as may be amended from time to time; and
 - ii. providing Review Committee members with applicable resources, including but not limited to training offered by the Office of the Vice-Provost (Equity, Diversity and Inclusion). Notwithstanding the foregoing, Review Committee members are responsible for awareness of equity, anti-discrimination and bias, and knowledge of relevant policies and procedures.
- c. Review Committee members are responsible for familiarizing themselves with:
 - i. the principles of equity, diversity and inclusivity;
 - ii. concepts of bias awareness, and discrimination; and

- iii. the obligations under applicable University policies and statements, in particular, the *Discrimination, Harassment and Duty to Accommodate Policy*, the *University's Employment Equity Statement* and the *EDI Strategic Plan* all as may be amended from time to time.
- c. Conflict of Interest:
 - i. Review Committee Members shall abide by the Statement of Ethical Conduct, in particular, with respect to management of conflict throughout the process.
 - ii. All Review Committee members must consider potential conflicts of interest. Review Committee members will be asked to complete conflict of interest declarations, and any identified real or perceived conflicts of interest must be managed in accordance with the University's *Conflict Policy* and its associated procedures.

5. RECOMMENDATIONS TO THE BOARD

- a. The Review Committee will provide its recommendation to the Board Chair, who will then present the recommendation to the Board Human Resources and Compensation Committee (BHRCC).
- b. If a positive recommendation is made by the Review Committee, the Board Chair and Vice-Chair, along with the Chair of the BHRCC, will then determine, by confidential interview with the incumbent President, whether their compensation and benefits expectations fall within the Board guidelines.
- c. The BHRCC will make a recommendation to the Board respecting the reappointment of the incumbent President. BHRCC shall also consider and approve the compensation and benefits for the incumbent President, subject to approval of the reappointment by the Board.
- d. The Board Chair will then present the recommendation of BHRCC to the Board.
- e. The Board will then decide upon the recommendation.

DEFINITIONS

Any definitions listed in the following table apply to this document only with no implied or intended institution-wide use.		[▲Top]
Board	The Board of Governors of the University as established or continued pursuant to the <i>Post-secondary Learning Act of Alberta</i> .	
conflict	Conflict of interest, conflict of commitment, or institutional conflict as U of A Policies and Procedures On-Line (UAPPOL) defined in the <i>University of Alberta Conflict Policy – Conflict of Interest and Commitment and Institutional Conflict Policy</i>	
diversity	In the context of this policy, diversity refers to the demographic and identity difference and variety within the University's workforce, including that based on the protected grounds. More broadly, within the University, diversity also encompasses difference or variety in education, ideas, perspectives, opinions, heuristics, disciplines,	

	methodologies, epistemologies, faculties, skills, and learning opportunities.
employee(s)	A person employed by the University and defined under <i>Recruitment Policy (Appendix A) Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff</i> or <i>Recruitment Policy (Appendix B) Definition and Categories of Support Staff</i> .
equity/equitable	In the context of this policy, equity is about fair access to employment and the opportunity to succeed in this domain. Employment equity principles, policies, and practices promote [or facilitate] access, representation, opportunities, and meaningful participation of persons historically underrepresented.
inclusion/inclusivity	In the context of this policy, inclusion is a principle and practice that values and cultivates the full and meaningful participation and representation of persons historically under-represented in the University's workforce.
persons historically under-represented	Women, Indigenous persons (First Nations, Métis, Inuit), members of visible minority groups, persons with disabilities, persons who identify with under-represented sexual orientations, gender identity or expression.
President	The President of the University appointed by the Board pursuant to s.81 of the <i>Post-secondary Learning Act</i> of Alberta as may be amended from time to time.
protected grounds	Refers to those grounds set out and defined in the <i>Alberta Human Rights Act</i> and in the University's <i>Discrimination, Harassment and Duty to Accommodate Policy</i> (UAPPOL) which are: race, religious beliefs, colour, gender, gender identity, gender expression, physical disability, mental disability, age, ancestry, place of origin, marital status, source of income, family status, sexual orientations or political beliefs.
senior administrators	President, Vice-Presidents, Deputy Provost, Associate Vice-Presidents, College Deans and Vice-Provosts, Vice-Provosts, Faculty Deans, Directors, and Chairs.
University Employment Equity Statement	"The University of Alberta is committed to an equitable, diverse, and inclusive workforce. We welcome applications from all qualified persons. We encourage women; First Nations, Métis and Inuit;

	members of visible minority groups; persons with disabilities; persons of any sexual orientations or gender identity and expression; and all those who may contribute to the further diversification of ideas and the University to apply.”
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RELATED POLICIES, FRAMEWORKS, AND PROCEDURES

If any links are broken, please contact uappol@ualberta.ca	[▲Top]
<p>Recruitment Policy (Appendix A) Definition and Categories of Academic Staff and Colleagues (UAPPOL)</p> <p>Presidential Search and Review Procedure (Appendix A): Committees for President Position Definitions and Eligibility (UAPPOL)</p> <p>Presidential Search Procedure (UAPPOL)</p>	

RELATED LINKS

If any links are broken, please contact uappol@ualberta.ca	[▲Top]
No related links for this procedure	

Original Approval Date: December 11, 2009
 Most Recent Approval: December 13, 2013
 Parent Policy: [Recruitment and Selection of Employees Policy](#)

Presidential Search Procedure

Office of Administrative Responsibility:	University Governance
Approver:	Board of Governors
Scope:	Compliance with University procedure extends to all members of the University community

OVERVIEW

The University of Alberta (“University”) is committed to appointing the best-qualified candidate for its President and aspires to achieve an **equitable, diverse** and **inclusive** community of **senior administrators** and **employees** consistent with the mission set out in its Strategic Plan for Equity, Diversity and Inclusivity (“EDI Strategic Plan”). By adopting EDI principles and practices into its search processes, the University hopes to achieve **diversity** in the workplace and correct employment disadvantages experienced by **persons historically under-represented at the University**. These principles and practices are designed to ensure that access to the University’s employment opportunities is equitable and inclusive by removing employment-related barriers, particularly those based on **protected grounds**. This will require periodic assessment of demographic, intellectual, and other aspects of diversity when contemplating a search. Committees must consider any diversity related issues that exist with respect to the relevant employee group and must consider what steps it may reasonably take to address those issues.

PURPOSE

To detail the procedure for search and selection of the President.

PROCEDURE

1. COMPOSITION OF SEARCH COMMITTEE
 - a. The composition of a presidential search committee (the “Search Committee”) shall be as set out in the *Presidential Search and Review Procedure (Appendix A): Committees for President Position Definitions and Eligibility (UAPPOL)*.
 - b. The University Secretary is responsible for:
 - i. drawing together the Search Committee;

- ii. to the extent possible, ensuring that Search Committee membership is inclusive of persons historically under-represented and mindful of demographic diversity;
- iii. where necessary, appointing an additional member in consultation with the comprised Search Committee to ensure diversity (see the *Presidential Search and Review Procedures Appendix A*); and
- iv. for ensuring that the Search Committee positions are properly replenished.

2) ELECTION PROCEDURES FOR ACADEMIC STAFF MEMBERS OF THE SEARCH COMMITTEE

a. NOMINATION PROCESS

- i. Elections will be managed by the General Faculties Council (GFC) Secretary (or their delegate) using a process that is fair and transparent.

b. ELECTORATE

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

3) SEARCH PROCEDURES FOR PRESIDENTS

- a. The **Board** will provide the Search Committee with guidelines and procedures that will demonstrate a fair and equitable recruitment and assessment of candidates, and a process that strives to ensure all members can contribute.
- b. The Board will provide the Chair of the Board (“Board Chair”) with compensation and benefits guidelines with respect to the appointment.
- c. The Board Chair will decide whether a search consultant should be retained and may seek advice from the Search Committee on this matter.
 - i. The consultant should demonstrate expertise in principles of equity, diversity and inclusivity and the same should be reflected in their own organization. The requirement for this expertise should be included in the advertisement.
 - ii. The consultant will agree to conduct their search with goals of attracting the best-qualified candidates and achieving an equitable, diverse and inclusive community of senior administrators.
- d. The University Secretary is responsible for:
 - i. drawing together the Search Committee;
 - ii. making Search Committee members aware of their obligations under applicable University policy, the **University’s Employment Equity Statement** and the *Discrimination, Harassment and Duty to Accommodate Policy*, and the *EDI Strategic Plan* all as may be amended from time to time; and
 - iii. providing Search Committee members with applicable resources, including but not limited to training offered by the Office of the Vice-Provost (Equity, Diversity and Inclusion). Search Committee members are responsible for awareness of equity, anti-discrimination and bias, and knowledge of relevant policies and procedures.
- e. Search Committee members are responsible for familiarizing themselves with:
 - i. the principles of equity, diversity and inclusivity;
 - ii. concepts of bias awareness, and discrimination; and
 - iii. the obligations under applicable University policies and statements, in particular, the *Discrimination, Harassment and Duty to Accommodate Policy*,

the University's *Employment Equity Statement* and the *EDI Strategic Plan* all as may be amended from time to time.

- f. Conflict of Interest:
 - i. Search Committee members shall abide by the Statement of Ethical Conduct, in particular, with respect to management of **conflict** throughout the process.
 - ii. All Search Committee members should consider potential conflicts of interest. Search Committee members will be asked to complete conflict of interest declarations, and any identified real or perceived conflicts of interest must be managed in accordance with the University's *Conflict Policy* and its associated procedures.

4) RECOMMENDATIONS TO THE BOARD

- a. The Search Committee will recommend one candidate for President to the Board Chair and Vice-Chair, along with the Chair of the Board Human Resources and Compensation Committee ("BHRCC"), who will then determine, by confidential interview with the candidate, whether their compensation and benefits expectations fall within the Board guidelines, and also if the candidate is prepared to cooperate in a systematic assessment of their performance during their term or any renewals thereof.
- b. Where the candidate is from outside the University and is also seeking an academic staff appointment, the Search Committee shall request that the **Faculty Selection Advisory Committee** make the recommendation in relation to the academic staff appointment.
- c. The BHRCC will make a recommendation to the Board respecting the appointment of the recommended candidate. BHRCC shall also consider and approve the compensation and benefits for the recommended candidate, subject to approval of the appointment by the Board.
- d. The Board Chair will then present the candidate recommended by BHRCC to the Board.
- e. The Board may appoint the recommended candidate, or return the matter to the search committee.

DEFINITIONS

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diversity	In the context of this policy, diversity refers to the demographic and identity difference and variety within the University's workforce, including that based on the protected grounds. More broadly, within the University, diversity also encompasses difference or variety in education, ideas, perspectives, opinions, heuristics, disciplines, methodologies, epistemologies, faculties, skills, and learning opportunities.
employee(s)	A person employed by the University and defined under <i>Recruitment Policy (Appendix A) Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff</i> or <i>Recruitment Policy (Appendix B) Definition and Categories of Support Staff</i> .
equity/equitable	In the context of this policy, equity is about fair access to employment and the opportunity to succeed in this domain. Employment equity principles, policies, and practices promote [or facilitate] access, representation, opportunities, and meaningful participation of persons historically underrepresented.
Faculty Selection Advisory Committee	As set-forth in the <i>Academic Selection Procedure (UAPPOL)</i> .
inclusion/inclusivity	In the context of this policy, inclusion is a principle and practice that values and cultivates the full and meaningful participation and representation of persons historically under-represented in the University's workforce.
persons historically under-represented	Women, Indigenous persons (First Nations, Métis, Inuit), members of visible minority groups, persons with disabilities, persons who identify with under-represented sexual orientations, gender identity or expression.
President	The President of the University appointed by the Board pursuant to s.81 of the <i>Post-secondary Learning Act</i> of Alberta as may be amended from time to time.
protected grounds	Refers to those grounds set out and defined in the <i>Alberta Human Rights Act</i> and in the University's <i>Discrimination, Harassment and Duty to Accommodate Policy (UAPPOL)</i> which are: race, religious beliefs, colour, gender, gender identity, gender expression, physical disability, mental disability, age, ancestry, place of origin, marital status, source of income, family status, sexual orientations or political beliefs.

senior administrators	President, Vice-Presidents, Deputy Provost, Associate Vice-Presidents, College Deans and Vice-Provosts, Vice-Provosts, Faculty Deans, Directors, and Chairs.
University Employment Equity Statement	“The University of Alberta is committed to an equitable, diverse, and inclusive workforce. We welcome applications from all qualified persons. We encourage women; First Nations, Métis and Inuit; members of visible minority groups; persons with disabilities; persons of any sexual orientations or gender identity and expression; and all those who may contribute to the further diversification of ideas and the University to apply.”

RELATED POLICIES, FRAMEWORKS, AND PROCEDURES

If any links are broken, please contact uappol@ualberta.ca	[▲Top]
<p>Recruitment Policy (Appendix A) Definition and Categories of Academic Staff, Administrators and Colleagues (UAPPOL)</p> <p>Presidential Search and Review Procedure (Appendix A): Committees for President Position Definitions and Eligibility (UAPPOL)</p> <p>Presidential Review Procedure (UAPPOL)</p>	

Original Approval Date: December 11, 2009
Most Recent Approval: March 14, 2014
Most Recent Editorial Date: n/a
Parent Policy: [Recruitment and Selection of Employees Policy](#)

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

Office of Accountability:	University Governance
Office of Administrative Responsibility:	University Governance
Approver:	Board of Governors

COMPOSITION OF SEARCH AND REVIEW COMMITTEES FOR PRESIDENT:

Refer to *Recruitment Policy (Appendix A) Definition and Categories of Academic Staff and Colleagues* (UAPPOL).

In the case of Review Committees, the Board Chair will consult the incumbent President under review on the composition of the Review Committee to assess potential or perceived conflicts of interest. The Board Chair will have the authority to assess whether any real or perceived conflict of interest can be managed. If the conflict cannot be managed effectively, the Board Chair may replace a Review Committee member.

1. COMMITTEE COMPOSITION

- a. Chair of the Board of Governors as Chair of the Committee
- b. Chancellor of the University
- c. Two members of the Board of Governors appointed by the Board
- d. Three Academic Staff Members elected by the electorate as defined in the Presidential Search and Review Procedures
- e. One Faculty Dean elected by Deans' Council
- f. One Chair elected by Chairs' Council

- g. One member of the Association of Academic Staff University of Alberta (the “AASUA”) appointed by the AASUA
- h. Two members of the Students’ Union appointed by the Students’ Council
- i. One member of the Graduate Students’ Association (the “GSA”) appointed by the GSA.
- j. One member of the Non-Academic Staff Association (the “NASA”) as appointed by the NASA.
- k. One member of the Alumni Association appointed by the Alumni Association

For a list of staff who are not eligible to serve on the advisory search and review committees for the President, please see Section 2.

Total: Fifteen (15) members

2. STAFF WHO ARE NOT ELIGIBLE TO SERVE ON SEARCH AND REVIEW COMMITTEES FOR PRESIDENT

- a. Staff who are on leave are not eligible to serve on advisory search and review committees for President. The term leave includes: administrative leave, sabbatical, political, medical, parental, childbirth, disability, assisted, secondment.
- b. All employees described in Categories A1.0, A2.0, D1.0, D1.1, and D1.2 of the *Recruitment Policy (Appendix A) Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff* who hold the following administrative positions at the time of the initial nomination are not eligible to serve:

Vice-President; Deputy Provost; Associate or Assistant Vice-President; College Dean and Vice-Provost; Faculty Dean; Associate, Assistant, or Vice-Dean; or Department Chair (excluding those members elected by Deans’ Council and Chairs’ Council); or positions in conflict of interest such as direct reports.

3. COMMITTEE BALANCE

At the first meeting of a committee, the matter of the committee’s composition will be addressed to ensure that the committee is balanced, broad-based (both internally and externally), and inclusive of persons historically under-represented at the University. If some imbalance is evident, the committee can instruct the Chair to consult with the Chair of the Board’s Human Resources and Compensation Committee and the Chair of the GFC Nominating Committee to find a solution for the committee's consideration.

DEFINITIONS

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

RELATED FRAMEWORKS, PROCEDURES AND GUIDELINES

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

[\[▲Top\]](#)

[Recruitment Policy \(Appendix A\) Definition and Categories of Academic Staff, Administrators and Colleagues \(UAPPOL\)](#)

Item No. 4

Governance Executive Summary
Action Item

Agenda Title	Recruitment and Selection of Employees Policy and Procedures
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Motion

THAT the Board of Governors, on the recommendation of the Board Human Resources and Compensation Committee, approve the amended Recruitment and Selection of Employees Policy Suite, as set forth in attachment 3, and authorize the Deputy Provost to make changes as outlined in the “Supplementary Notes and context” section below, all to take effect upon final approval.

Item

Action Requested	<input checked="" type="checkbox"/> Approval <input type="checkbox"/> Recommendation
Proposed by	Steven Dew, Provost & Vice-President (Academic)
Presenter(s)	Wendy Rodgers, Deputy Provost

Details

Office of Administrative Responsibility	Vice-Provost & Associate Vice-President (Human Resources) and Faculty Relations, Office of the Provost & Vice-President (Academic)
The Purpose of the Proposal is (<i>please be specific</i>)	For review and recommendation of proposed changes to the Recruitment and Selection of Employees Policy and procedures.
Executive Summary (<i>outline the specific item – and remember your audience</i>)	<p>The Recruitment policy suite establishes the principles and basic procedures for recruitment and selection of individuals to be employed by the University of Alberta. The policy suite is being revised in light of the mandate for policy review set out in the Strategic plan for Equity, Diversity and Inclusivity (EDI strategic plan) approved in 2018.</p> <p>The proposed changes are to ensure that recruitment and employment processes are equitable and inclusive, and conducive to achieving greater diversity of the university community. Making these changes is imperative to meet our own strategic goals as well as new and increasing accountability requirements for federal and other programs that support scholarship.</p> <p>The revisions of the Recruitment Policy suite will:</p> <ul style="list-style-type: none"> • Incorporate EDI principles and practices for recruitment and selection processes • Remedy known exclusions and gaps in the current policy and procedures • Improve clarity and consistency across the current policy and procedures <p>The proposed changes to practice include:</p> <ul style="list-style-type: none"> • Clarification of principles for equitable recruitment and decision making processes • Revision of requirements for committee composition to ensure diversity and inclusion • Requirements for training on equity, anti-discrimination and bias-awareness • Emphasis of requirements for declaration of conflict of interest to ensure fairness

Item No. 4

	<ul style="list-style-type: none"> • Details on how to conduct an equitable and inclusive search and selection including the drafting of the job ad and advertising of the position to favour a diverse pool of applicants <p>In addition to the above amendments intended to advance EDI, substantive changes are proposed to the Faculty Deans Review Procedure that aim to ensure fairness to incumbents and strengthen the process. These amendments address the following identified issues:</p> <ul style="list-style-type: none"> • Provide clarity on how conflict of interest and confidentiality will be managed during the process; • Improve role clarity for all participants in the process by outlining a detailed, sequential description of the dean review process, from initiation to reappointment; • Streamline and standardize the Dean Review Committee composition for all Faculties; • Outline the specific metrics of performance being assessed through the introduction of Review Criteria; • Position dean review committees with better information at the beginning of the process by requiring tailored community consultation; • Provide more detailed community feedback to the incumbent dean prior to the Faculty Forum, allowing them the opportunity to more fully address community feedback at the Faculty Forum. <p>Additional context is provided in Attachment 1 – Case for Action.</p> <p>Please note: The submission from AASUA (Attachment 4) was received after the document deadline. The presenter is prepared to address any resulting questions.</p>
<p>Supplementary Notes and context</p>	<p><u>Proposed amendment to the material:</u></p> <p>Subsequent to the May 26th Board Human Resources and Compensation Committee (BHRCC) meeting, and based on input received at that BHRCC meeting, administration is proposing to amend the language in the procedures relevant to the composition of selection committees and candidate pools to improve clarity and consistency. In general, the procedures indicate that committees or pools should reflect or exceed the diversity of the institution or discipline, and should be inclusive of historically underrepresented persons (e.g., see VP Selection Procedure 5.i, page 10). In each of these instances, it is proposed to amend the language to indicate that the committee or pool should be inclusive of persons historically under-represented at the University or within the discipline or unit.</p> <p>The rationale for the amendment is to clarify the intended emphasis on enhancing representation among members of historically underrepresented groups, and to mitigate ambiguity as to how the university would determine in each case whether composition had met or exceeded the diversity of the institution or unit. Diversity is multidimensional and intersectional and reflecting the full diversity of the university or a discipline in all of its dimensions within each committee or</p>

Item No. 4

	pool , comprising only a small number of people, is not practically possible.
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Engagement and Routing (Include meeting dates)

<p>Consultation and Stakeholder Participation (parties who have seen the proposal and in what capacity)</p> <p><For information on the protocol see the Governance Resources section Student Participation Protocol></p>	<p><u><i>Those who are actively participating:</i></u></p> <ul style="list-style-type: none"> • Office of the Provost & Vice-President (Academic) – lead • Human Resource Services • Faculty Relations • Office of General Counsel • Provost’s Fellow on EDI Policy
	<p><u><i>Those who have been consulted:</i></u></p> <ul style="list-style-type: none"> • EDI Action Group • Office of Safe Disclosure and Human Rights • University Governance (on-going) • UAPPOL champions • Senior Administrative Officers • Office of the Vice-President (Research and Administration) • Office of the Vice-President (Facilities and Operations) • Office of the President • President’s Executive Committee – Operations • Statutory Deans’ Council • Vice-Provosts’ Council • Chairs’ Council • Joint Employment Equity Task Force • Non-Academic Staff Association (early consultation and circulation of final versions for comment) • Association of Academic Staff of the University of Alberta (early consultation and consultation on final versions– written comment to be circulated to GFC Executive when available)
	<p><u><i>Those who have been informed:</i></u></p> <ul style="list-style-type: none"> •
<p>Approval Route (Governance) (including meeting dates)</p>	<ul style="list-style-type: none"> • GFC (early consultation) – May 2019 • GFC Executive (early consultation) – January 13, 2020 • GFC (early consultation) – January 27, 2020 • Board Human Resources and Compensation Committee (early consultation) – February 25, 2020 • GFC Executive (comments from the Chair) – March 16, 2020 • GFC (comments from the Chair and report on consultation) – March 30, 2020 • GFC Executive (for recommendation) – May 11, 2020 • GFC (for recommendation) – May 25, 2020 • Board Human Resources and Compensation Committee (for recommendation) – May 26, 2020 • Board of Governors (for approval) – June 19, 2020

Strategic Alignment

Alignment with <i>For the Public Good</i>	Objective 3: Workforce (Faculty and Staff) of the EDI Strategy:
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	<i>The university's commitment to EDI is reflected in recruitment, retention, and advancement of faculty and staff; faculty and staff are prepared to work in a diverse environment and have the knowledge and skills to contribute to equity and inclusivity.</i>	
Alignment with Core Risk Area	Please note below the specific institutional risk(s) this proposal is addressing.	
	<input type="checkbox"/> Enrolment Management <input checked="" type="checkbox"/> Faculty and Staff <input type="checkbox"/> Funding and Resource Management <input type="checkbox"/> IT Services, Software and Hardware <input checked="" type="checkbox"/> Leadership and Change <input type="checkbox"/> Physical Infrastructure	<input type="checkbox"/> Relationship with Stakeholders <input type="checkbox"/> Reputation <input type="checkbox"/> Research Enterprise <input type="checkbox"/> Safety <input type="checkbox"/> Student Success
Legislative Compliance and jurisdiction	<i>Post-secondary Learning Act</i> sections 22(2), 26(1)(o), and 26(2), 83, 84 University of Alberta Strategic Plan for Equity, Diversity, and Inclusivity GFC Executive Committee General Faculties Council Board Human Resources and Compensation Committee Terms of Reference sections 2o,s,y; 3d	

Attachments

1. Addition of Equity Diversity and Inclusion Language to the Recruitment and Selection of Employees Policy Suite (“Recruitment Policy”) - Case for Action (3 pages)
2. Revisions to the Faculty Deans Review Procedure - Case for Action (1 page)
3. Amended Recruitment and Selection of Employees Policy “Recruitment Policy” Suite (70 pages) – for approval
 - a) Recruitment and Selection of Employees Policy “Recruitment Policy”
 - b) Vice-Presidential Search Procedure
 - c) Vice-Presidential Review Procedure
 - d) Vice-Presidential Search and Review Procedures Appendix A: Committees for Vice-Presidents Position Definitions and Eligibility
 - e) Faculty Deans Selection Procedure
 - f) Faculty Deans Review Procedure
 - g) Department Chairs Selection Procedure
 - h) Department Chairs Review Procedure
 - i) Academic Selection Procedure
 - j) Academic Staff Posting and Advertising Procedure
 - k) Support Staff Selection Procedure
 - l) Support Staff Posting and Advertising Procedure
 - m) Acting and Interim Senior Administration Appointment Procedure
4. AASUA written submission to GFC re changes to Recruitment Policy (4 pages)

Prepared by: Logan Mardhani-Bayne, Strategic Development Manager, Office of the Provost & Vice-President (Academic), lmardhan@ualberta.ca