The following Motions and Documents were considered by the GFC Academic Planning Committee at its May 9, 2012 meeting:

Agenda Title: **Dissolution of the Faculty of Pharmacy and Pharmaceutical Science's Noujaim Institute for Pharmaceutical Oncology Research**

APPROVED MOTION: THAT the GFC Academic Planning Committee approve, under delegated authority from General Faculties Council, the proposed dissolution of the Noujaim Institute for Pharmaceutical Oncology Research in the Faculty of Pharmacy and Pharmaceutical Sciences, as set forth in the attached correspondence from the Dean of the Faculty of Pharmacy and Pharmaceutical Sciences, to take effect upon final approval.

Final Item: 4

Agenda Title: **Donation Acceptance Policy Suite in UAPPOL**

APPROVED MOTION: THAT the GFC Academic Planning Committee, acting under delegated authority from General Faculties Council, recommend to the Board of Governors the Donation Acceptance Policy Suite (as set forth in Attachments 1, 2 (as amended), and 3), as submitted by the Chief Advancement Officer, to take effect upon final approval.

Final Recommended Item: 5.1

APPROVED MOTION: THAT the GFC Academic Planning Committee, acting under delegated authority, recommend to the Board of Governors the rescission of Section 8 (Acceptance Policy for Gifts) of the GFC Policy Manual, has submitted by the Chief Advancement Officer, to take effect upon final approval.

Final Recommended Amended Item: 5.2

Agenda Title: **University of Alberta Faculty of Arts and Ritsumeikan University (Japan) Proposed Dual Undergraduate Degree Program (Bachelor of Arts (BA))**

APPROVED MOTION: THAT the GFC Academic Planning Committee approve, under delegated authority from General Faculties Council, the proposal from the Faculty of Arts for the establishment of a University of Alberta Faculty of Arts and Ritsumeikan University (Japan) Dual Undergraduate Degree Program (Bachelor of Arts (BA)), as submitted by the Office of the Dean of the Faculty of Arts (and as set forth in Attachment 1), to take effect upon final approval.

Final Item: 7

Agenda Title: **Graduate Student Teaching Initiative (Establishment of the Graduate Teaching and Learning (GTL) Program with Supersession of the University Teaching Program (UTP))**

APPROVED MOTION: THAT the GFC Academic Planning Committee approve, under delegated authority from General Faculties Council, the proposal submitted by the Faculty of Graduate Studies and Research (FGSR) for the establishment of the Graduate Teaching and Learning (GTL) Program intended to build upon and, in doing so, supersede the existing University Teaching Program (UTP), as set forth in Attachment 1 (as amended), to take effect upon final approval.

Final Amended Item: 8

FINAL Item No. 4

OUTLINE OF ISSUE

Agenda Title: **Dissolution of the Faculty of Pharmacy and Pharmaceutical Science's Noujaim Institute for Pharmaceutical Oncology Research**

Motion: THAT the GFC Academic Planning Committee approve, under delegated authority from General Faculties Council, the proposed dissolution of the Noujaim Institute for Pharmaceutical Oncology Research in the Faculty of Pharmacy and Pharmaceutical Sciences, as set forth in the attached correspondence from the Dean of the Faculty of Pharmacy and Pharmaceutical Sciences, to take effect upon final approval.

Item

Action Requested	☒Approval ☐Recommendation ☐Discussion/Advice ☐Information
Proposed by	James Kehrer, Dean, Faculty of Pharmacy and Pharmaceutical Sciences
Presenter	James Kehrer, Dean, Faculty of Pharmacy and Pharmaceutical Sciences
Subject	Dissolution (Closure) of the Faculty of Pharmacy and Pharmaceutical Science's Noujaim Institute for Pharmaceutical Oncology Research

Details

Responsibility	Provost and Vice-President (Academic)
The Purpose of the Proposal is (please be specific)	Dissolution of the Noujaim Institute for Pharmaceutical Oncology Research, as outlined in the attached correspondence from the Dean of the Faculty of Pharmacy and Pharmaceutical Sciences, James Kehrer, dated April 12, 2012.
The Impact of the Proposal is	See attached correspondence from Dean Kehrer dated April 12, 2012.
Replaces/Revises (eg, policies, resolutions)	N/A
Timeline/Implementation Date	Upon final approval.
Estimated Cost	N/A
Sources of Funding	N/A
Notes	N/A

Alignment/Compliance

Alignment with Guiding Documents	*Dare to Discover* and *Dare to Deliver*
Compliance with Legislation, Policy and/or Procedure Relevant to the Proposal (please quote legislation and include identifying section numbers)	1. **UAPPOL Academic Centres and Institutes Termination Procedure:** "Section 2. TERMINATION: Termination of academic centres and institutes shall occur by one of two means: - by resolution of APC on the recommendation of the **Reporting Dean**, or the University Administration; - by lack of submission of annual reports to the Reporting Dean for a period of two consecutive years. In such cases, the University Administration shall inform APC of the relevant unit's failure to report and notice of closure. Termination plans must include details of any financial encumbrances, physical resources, or effect on teaching or other dissemination obligations. The termination of an academic centre or institute must be

	included in APC's annual report to General Faculties Council."

Routing (Include meeting dates)

Consultative Route (parties who have seen the proposal and in what capacity)	Mrs Tony Noujaim (Donor); Murray Gray, Vice-Provost (Academic) and Associate Vice-President (Research) and Chair, Centres and Institutes Committee, Office of the Provost and Vice-President (Academic); Cindy Watt, Committees Manager, Office of the Provost and Vice-President (Academic)
Approval Route (Governance) (including meeting dates)	GFC Academic Planning Committee (May 9, 2012) – for final approval
Final Approver	GFC Academic Planning Committee

Attachments (each to be numbered 1 - <>):

1. Attachment 1 (page 1): Correspondence from Dean James Kehrer, Faculty of Pharmacy and Pharmaceutical Sciences, Regarding Dissolution of the Faculty of Pharmacy and Pharmaceutical Science's Noujaim Institute for Pharmaceutical Oncology Research (Dated April 12, 2012)

Prepared by: Cindy Watt, Committees Manager, Office of the Provost and Vice-President (Academic), cindy.watt@ualberta.ca

UNIVERSITY OF ALBERTA
FACULTY OF PHARMACY AND
PHARMACEUTICAL SCIENCES

Office of the Dean

Katz Group Centre for Pharmacy & Health Research   www.pharm.ualberta.ca   Tel: 780.492.0204
11361 – 87th Ave   jkehrer@ualberta.ca   Fax: 780.492.1843
Edmonton, Alberta, Canada T6G 2E1

April 12, 2012

Dr. Carl G Amrhein
Provost and Vice-President (Academic)
2-10 University Hall

RE: Closure of the Noujaim Institute for Pharmaceutical Oncology Research

Dear Carl:

The Noujaim Institute for Pharmaceutical Oncology Research was established in 1994 and was quite active for about the next decade. However, as the faculty members involved in this Institute left, and the research focuses of the Faculty of Pharmacy & Pharmaceutical Sciences changed, the institute became inactive. Given this situation, and the ability to move forward with the general intent of the donor (as outlined below) without an institute structure, I am requesting that the Academic Planning Committee officially vote to terminate this institute.

The Noujaim Institute has no physical resources, effect on teaching or other dissemination obligations and thus this closure will have no material ramifications.

The Institute does have an endowment fund. I have examined the original donation paperwork from Tony Noujaim from April 1994. His donation letter stated "In deciding how to use this gift, I hope the Foundation's Trustees will give strong consideration of making a $1 million grant to the University of Alberta for the promotion of research in "pharmaceutical oncology" specifically for support of salaries for research staff." The Foundation on April 26, 1994 approved this request with the caveat that "after 15 years, any funds remained unspent, and if circumstances make it impossible to fulfill the terms of the grant, then you would allow the Dean of Pharmacy and the Vice-President (Academic) to change the use to which the funds are put, providing the University maintains the spirit and intent of the grant".

We have approval from Mrs. Noujaim to combine the remaining funds into an endowment (this was done last year) that will continue to provide support for research in the general area of pharmaceutical oncology. Consequently, there are no financial obligations or encumbrances associated with the Noujaim Institute.

I hereby request termination of the Noujaim Institute, following the GFC policy for "Academic Centres and Institutes Termination Procedure", as approved December 9, 2011.

Sincerely,

James P. Kehrer, Ph.D.
Professor and Dean

1

OUTLINE OF ISSUE

Agenda Title: **Donation Acceptance Policy Suite in UAPPOL**

Motion I: THAT the GFC Academic Planning Committee, acting under delegated authority from General Faculties Council, recommend to the Board of Governors the Donation Acceptance Policy Suite (as set forth in Attachments 1, 2 (as amended), and 3), as submitted by the Chief Advancement Officer, to take effect upon final approval.

Motion II: THAT the GFC Academic Planning Committee, acting under delegated authority from General Faculties Council, recommend to the Board of Governors the rescission of Section 8 (Acceptance Policy for Gifts) of the GFC Policy Manual, as submitted by the Chief Advancement Officer, to take effect upon final approval.

Item

Action Requested	☐Approval ☒Recommendation ☐Discussion/Advice ☐Information
Proposed by	O'Neil Outar, Chief Advancement Officer
Presenter	O'Neil Outar, Chief Advancement Officer
Subject	Donation Acceptance Policy and Procedures

Details

Responsibility	Office of Advancement
The Purpose of the Proposal is (please be specific)	To create a framework for the review and acceptance of philanthropic donations to the University of Alberta.
The Impact of the Proposal is	In addition to providing an efficient review and acceptance process, this Policy and its associated Procedures are intended to provide recognition and appreciation to donors in an appropriate and consistent manner, to cultivate future support with the University's current donors, and to stimulate interest and support among potential donors.
Replaces/Revises (eg, policies, resolutions)	GFC Policy Manual Section 8.1: Fundamental Gift Acceptance Principles; incorporates the 'Controversial Donations Guideline'.
Timeline/Implementation Date	June 15, 2012 (upon final approval by the Board of Governors).
Estimated Cost	N/A
Sources of Funding	N/A
Notes	Section 8 of the GFC Policy Manual may be accessed online at: http://www.gfcpolicymanual.ualberta.ca/8AcceptancePolicyforGifts.aspx .

Alignment/Compliance

Alignment with Guiding Documents	*Dare to Discover*
Compliance with Legislation, Policy and/or Procedure Relevant to the Proposal (please quote legislation and include identifying section numbers)	1. **Post-Secondary Learning Act (PSLA)**: Under the *Post-Secondary Learning Act* (*PSLA*), the University's Board of Governors has the capacity, rights, powers and privileges of a natural person (Section 59(1)), and the Board is tasked with managing and operating the University in accordance with its mandate (*PSLA* Sections 60, 60(1)).
	2. **PSLA** Section 26(1) states: "Subject to the authority of the board, a general faculties council is responsible for the academic affairs of the university and, without restricting the generality of the foregoing has the authority to […] (m) make rules and regulations respecting academic awards; […] (o) make recommendations to the board with respect to affiliation with other institutions, academic planning, campus planning, a building

program, the budget […] and any other matters considered by the general faculties council to be of interest to the university[.] […]"

3. **GFC Academic Planning Committee (APC) Terms of Reference/3. Mandate of the Committee:**

"The Academic Planning Committee (APC) is GFC's senior committee dealing with academic, financial and planning issues. […]

APC is responsible for making recommendations to GFC and/or to the Board of Governors concerning policy matters and action matters with respect to the following:

1. **Planning and Priorities**

To recommend to GFC and/or the Board of Governors on planning and priorities with respect to the University's longer term academic, financial, and facilities development.

[…]

14. **Other**

a.   To recommend to the Board of Governors and/or GFC on any other matter deemed by APC to be within the purview of its general responsibility.

[…]"

4. **Board University Relations Committee (BURC) Terms of Reference**:

"**2. Mandate**
The Committee promotes the advancement of the University's Mission and Vision, aligns with the University Values, complies with the University Mandate and supports institution-wide plans, priorities and objectives by fulfilling its Committee Mandate in four Areas of Interest:

a. **University Reputation**
   The Committee guides efforts to ensure that the University safeguards and enhances its reputation to advance its interests.
[…]
d. **University Philanthropy and Development**
   The Committee guides efforts to ensure that the University's philanthropic and development policies and plans, promote, attract and generate revenue to advance the University's interests.

Section 3. Scope of Duty

Without limiting interpretation of the Committee Mandate to promote the University's Mission and Vision, align with the University's Values, comply with the University Mandate and support the institution-wide plans, priorities and objectives in four identified Areas of Interest, the

	Board authorizes the Committee to: a. **Recommend** Board approval of proposals within the Committee Mandate, which realize the approved institution-wide plans, priorities, objectives or related policy goals; […] c. **Approve** policy matters within the Committee Mandate which align with Board approved parent policy[.] […]"

Routing (Include meeting dates)

Consultative Route (parties who have seen the proposal and in what capacity)	To date, the attached Policy Suite has been reviewed by University General Counsel, external counsel, the President, the Executive Planning Committee (EPC), an internal Advancement committee representing various constituencies, and the University's Information and Privacy Office (IPO). EPC (March 14, 2012); Deans' Council (March 21, 2012); Association of Academic Staff – University of Alberta (AASUA) (March 22, 2012 – April 12, 2012) (for discussion)
Approval Route (Governance) (including meeting dates)	GFC Academic Planning Committee (May 9, 2012) – for recommendation; Board University Relations Committee (June 1, 2012) – for recommendation; Board of Governors (June 15, 2012) – for final approval
Final Approver	Board of Governors

Attachments:

1. Attachment 1 – Donation Acceptance Policy (pages 1 – 4)
2. Attachment 2 – Donation Acceptance Procedure (pages 1 – 5)
3. Attachment 3 – Counting Practices for Philanthropic Support Procedure (pages 1 – 16)
4. Attachment 4 – AASUA Consolidated Commentary – For Information Only (page 1)

Prepared by: O'Neil Outar, Chief Advancement Officer, Office of Advancement, oneil.outar@ualberta.ca

Anticipated Approval Date: June 15, 2012
Most Recent Edit Date: N/A

Donation Acceptance Policy

Office of Accountability:	Office of Advancement
Office of Administrative Responsibility:	Office of Advancement
Approver:	Board of Governors
Scope:	Compliance with this University-wide policy extends to all members of the University community.

Overview

The University of Alberta is committed to excellence in teaching and research and to the fundamental principles of academic freedom. Philanthropic support is an important element in advancing research and education. The University welcomes **donations** from individuals and organizations to help it achieve its academic mission and to enhance its programs and services to students and researchers. In addition to providing an efficient review and **acceptance** process, this policy and published procedures are intended to provide a framework for the recognition and appreciation to donors in an appropriate and consistent manner, to cultivate future support with the University's current donors and to stimulate interest and support among potential donors.

The University of Alberta is a registered charity and complies with requirements of the *Income Tax Act*.

Purpose

To create a framework for the review and acceptance of philanthropic donations to the University of Alberta.

Guiding Principles

The University values and will protect its integrity, autonomy, and academic freedom, and does not accept donations when a condition of such acceptance would compromise these fundamental principles.

POLICY

1. The University's solicitation and acceptance of donations is informed by and consistent with priorities and interests established by the University.

2. A donation made may be in the form of an "**expendable gift**" or to establish or augment an "endowment".

   An expendable gift is made through a voluntary and irrevocable transfer of **property** by a donor, to the University, to be available for immediate expenditure by the University, in return for which no valuable benefit flows to the donor from the University. With **donations to endowments**, the University receives a donation to hold, as trustee, in a charitable purpose trust. Spending allocations are generated by the property for use by the University in support of the purpose or object of the endowment.

Expendable gifts may be either "designated" or "undesignated" donations. Endowments are designated donations.

- **Undesignated donations** are not restricted in the manner in which they may be expended, and are available to use for such purposes as the University determines will best advance its interests and priorities. Expendable gifts directed to a particular faculty, department, or program, but for general expenditure, remain "undesignated".

- **Designated donations** are used expressly for the purposes for which they are given, or in the case of an endowment, in support of the identified purpose or object of the endowment. Expendable gifts directed to a particular faculty, department, or program for specifically identified purposes are designated donations.

  Any designated purpose for an expendable gift, or of an endowment donation, may be general or specific.

3. The University is committed to the highest standards of donor stewardship and accountability. This includes appropriate acknowledgement and recognition for donations. Where reports are supplied to donors, these reports will conform to University policies, and be shared with donors by the appropriate academic or administrative office relevant to the donation.

4. Any terms or conditions governing the use of donations are matters of public record, except for information that is personal or proprietary, in accordance with the *Freedom of Information and Protection of Privacy Act*. A list of all donations may be produced annually and be made available, as needed, to the Board of Governors, and may be made public by the Office of Advancement in the form of a listing of donors for stewardship and recognition purposes. Donors may request to be identified as anonymous in all public recognition activities. When requested, the University will maximize donor anonymity protection.

5. The University will follow both University policy and federal and provincial laws with respect to the acceptance of donations that include designations relating to ethnic, religious, gender, or analogous personal characteristics and prior approval of the **Donation Acceptance Committee** is required with respect to accepting any such donations. (see RELATED LINKS)

   The prior approval of the Donation Acceptance Committee is also required with respect to any donation in support of a scholarship or award that seeks to designate criteria relating to membership in a particular University constituency, group, or association.

6. Donors are ultimately responsible for ensuring that the proposed donation furthers their own charitable, financial and estate planning goals. Therefore, donors are encouraged to seek independent advice in the donation planning process. It is not within the domain of either the University or its staff to give legal, accounting, tax or other advice to prospective donors.

7. Where donation agreements seek to include a provision for advisory boards and committees, the University will only create such a board or committee with the prior agreement of the relevant academic unit or units.

   From time to time issues arise with respect to a donor seeking to take an advisory role in a project/centre or institute or gift/endowment to which they have provided funding. Legal, governance and general policy considerations can all be triggered by such on-going involvement, thereby requiring the approval of the Chief Advancement Officer, the Vice-President (Finance and Administration), Vice-President (Research), and Provost and Vice-President (Academic), or at their direction, the approval of the Donations Acceptance Committee.

8. The University does not accept or recognize as a charitable donation any monies or other property that provides a benefit or consideration to the donor or anyone designated by the donor. This includes employment at the University, enrolment in a University program, or a University procurement contract. There are certain circumstances, for example sponsorships, where the University will consider such donations, as defined within the *Counting Practices for Philanthropic Support Procedure.* (see PUBLISHED PROCEDURES)

9. The Office of Advancement will record all donations to the University in the alumni and donor database and ensures the timely and accurate issuance of donation receipts on behalf of the University.

10. The University of Alberta may elect to accept or decline any donation. The University will not accept a donation unless there is a reasonable expectation that acceptance of the donation would benefit the University. The University will not accept a donation if such acceptance imposes upon the University overly burdensome administrative or other efforts or costs. The final decision to accept a donation rests with the Board of Governors, and is subject to the authorities vested under the *Contract Review and Signing Authority Policy* and the associated documentation to establish the Gift Agreement and Statement of Trust. (see RELATED LINKS)

When the position of Vice-President (Advancement) is filled, all references to the Chief Advancement Officer will be deemed to be removed and replaced by Vice-President (Advancement).

Special Circumstances – Donation Acceptance Committee

All donations must be in support of, and consistent with, the Mission and Vision of the University of Alberta. Donations that by their nature or terms are not clearly in conformity with these and other applicable policies must be presented to the Donation Acceptance Committee (DAC) for evaluation and approval. Consultation with relevant areas of the University (including, but not limited to members of the President's Executive Committee, deans, appropriate academic leaders, and the Prospect Manager) shall be included in the DAC's donation evaluation process. (see PUBLISHED PROCEDURES)

DEFINITIONS

Any definitions listed in the following table apply to this document only with no implied or intended institution-wide use. **[▲Top]**	
Donations	May take the form of an "expendable gift" or an "endowment donation".
Acceptance	The decision by the University to accept a donation in accordance with this policy.
Expendable Gift	A donation made through a voluntary and irrevocable transfer of property by a donor, to the University, to be available for immediate expenditure by the University, in return for which no valuable benefit flows to the donor.
Donations to Endowments	A donation where the University receives property from the donor to hold, as trustee, in a charitable purpose trust and spending allocations are generated for use in support of the purpose or object of the endowment. Donations can augment existing endowments or create

	new ones.
Undesignated Donation	A donation where the donor has not specified any restrictions as to the use of the funds.
Designated Donation	A donation where the donor has specified restrictions on the use of the donation.
Property	An asset with determinable value such as cash, securities, life insurance interest, art, or real property.
Donation Acceptance Committee (DAC)	The committee established to review and consider acceptance of proposed donations with special circumstances. The Committee also reviews the Donation Acceptance Policy and Procedure.

RELATED LINKS

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

Canada Revenue Agency (Government of Canada)

Centres and Institutes Policy (University of Alberta)

Charitable Fund-Raising Act and Regulations (Government of Alberta)

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

Contract Review and Signing Authority Policy (University of Alberta)

Creation of New Awards and Bursaries for Undergraduate Students Procedure (University of Alberta)

Freedom of Information and Protection of Privacy Act (Government of Alberta)

General Faculties Council's Discrimination and Harassment Policy and Procedures and the University of Alberta Reasonable Accommodation Policy (University of Alberta)

Naming Policy (University of Alberta)

Philanthropic Naming of Academic Entities Procedure (see for Endowment Levels) (University of Alberta)

Prospect Management Policy (University of Alberta)

PUBLISHED PROCEDURES OF THIS POLICY

Donation Acceptance Procedure (University of Alberta)

Counting Practices for Philanthropic Support Procedure (see Sections 2 and 3 for accepted Donation Types and how they are recorded) (University of Alberta)

UNIVERSITY OF ALBERTA

Approval Date: N/A
Most Recent Edit Date: N/A

Parent Policy: Donation Acceptance Policy

Donation Acceptance Procedure

Office of Administrative Responsibility:	Office of Advancement
Approver:	Office of Advancement (Chief Advancement Officer)
Scope:	Compliance with this University-wide policy extends to all members of the University community.

Overview

The University of Alberta is committed to excellence in teaching and research and to the fundamental principles of academic freedom. Philanthropic support is an important element in advancing research and education. The University welcomes **donations** from individuals and organizations to help it achieve its academic mission and to enhance its programs and services to students. In addition to providing an efficient review and **acceptance** process, this policy and published procedures are intended to provide a framework for the recognition and appreciation to donors in an appropriate and consistent manner, to cultivate future support with the University's current donors and to stimulate interest and support among potential donors.

The University of Alberta is a registered charity and complies with requirements of the *Income Tax Act*.

Purpose

To elaborate on the framework for the review and acceptance of philanthropic donations to the University of Alberta.

PROCEDURE

I. Donation Acceptance Committee

From time to time there will be donations that by their nature or terms are not clearly in conformity with Donation Acceptance Policy and/or Procedure, or are highly controversial in nature. In such circumstances the Chief Advancement Officer shall convene the **Donation Acceptance Committee** (DAC) to review the proposed donation and determine whether or not to recommend to the President acceptance of the proposed donation.

Membership of the DAC is determined by the Chief Advancement Officer and shall minimally consist of the following:

Voting Members:

    Chief Advancement Officer (Chair)
    Director, Major Gifts and Planned Giving
    Recording Secretary
    Senior Director, Advancement Services
    Vice-President (Facilities and Operations)
    Vice-President (Finance and Administration)
    Vice-President (Research)
    Vice-President (University Relations)
    Vice-Provost and Vice-President (Academic)
    Vice-Provost (Academic) and Associate Vice-President (Research)
    Appropriate academic leader involved with the donation under review (e.g. dean)

Ex Officio:

General Counsel

During the course of a University-wide campaign at least one member of the campaign leadership committee shall serve as an ex-officio member of the DAC.

In order for the proposed donation to be reviewed by the DAC, a written request must be submitted to the Chief Advancement Officer. Consultation with relevant areas of the University shall be included in the process whenever appropriate, before the consideration by the DAC. Advance discussion with the DAC, before formal request for recommendation, may be advisable in cases of potential risk or sensitivity.

The DAC shall adopt guidelines that govern the conduct of its business, including voting procedures, record keeping, and reporting to the Board of Governors.

The DAC may seek legal, tax or other advice in matters relating to acceptance of donations when appropriate.

The DAC shall conduct an annual review of the Donation Acceptance Procedure and make any changes as necessary.

II. Special Circumstances

There are donations that require special consideration based on the intention of the donor(s) and their current or future relationship with the University of Alberta, including but not limited to:

1. Donor Involvement
2. Donations from University Employees and/or Fund Managers
3. Memorial, Honorary and "On Behalf Of" Donations
4. Donations for the Benefit of Specific Individuals
5. Premiums or Goods/Services Received
6. Diversity Donations
7. Donation Refunds
8. Donations from Vendors
9. Donations from entities outside of Canada

1. Donor Involvement

The University recognizes that donor involvement can, at times, assist with fund-raising and donor relations. Affording donors such involvement; however, can pose risk and create issues for the University. The following outlines some of the issues that may arise and provides some of the recommended practices:

a. For **donations to endowments**,

i. Donor involvement in any "advisory" capacity requires the approval of the Chief Advancement Officer, in consultation with the Vice-President (Finance and Administration) and General Counsel, as necessary;
ii. Donors may not be involved in any management decision-making roles, including through any committee, in dealing with the trusteeship, investment, or key administrative aspects of the endowment.
iii. A donor may not change or vary the purpose of the endowment once established (such a power, however, should be sought for the University as trustee, as *per* the University's standard *Statement of Trust*);

b. For **expendable gifts**,

i. Gift agreements or terms will not include any commitment by the University to include a donor in any committee dealing with the management aspects of the gift.

     ii.   Donor involvement on an advisory committee is acceptable, so long as there is no control of that committee by the donor and so long as the committee is clearly only advisory. It is incumbent upon the academic or administrative organization that is being advised to not engage the committee in discussions about budget and spending; without prior consultation with the Chief Advancement Officer, Vice-President (Finance and Administration), Vice-President (Research), Provost and Vice-President (Academic), and General Counsel.

2.   Donations from University Employees

Donations to the University from its employees are encouraged, and may be accepted if the purpose of the donation is to support bona fide University activities. Such donations are subject to University policies and procedures.

3.   Memorial, Honorary and "On Behalf Of" Donations

Memorial and honorary donations are encouraged by the University as generous and thoughtful ways to recognize people's lives and accomplishments. When a memorial donation is made, the deceased's next of kin is notified by the University provided the donor has completed a *Freedom of Information and Protection of Privacy* Act release form. Such notifications must not specify donation amounts.

When a donor makes a donation "on behalf of" another person, the other person receives "recognition credit." The legal donation credit remains with the person who made the donation (e.g., signed the cheque).

4.   Donations for the Benefit of Specific Individuals

A donation that is made with the condition that the proceeds will be spent by the University for the personal benefit of a named or otherwise identifiable individual or individuals is not tax deductible as a charitable contribution. The DAC shall review and, when required, refuse donations that are inappropriately targeted toward the benefit of particular individuals. The DAC also will review all proposals for endowed student scholarships, awards and bursary funds that are not clearly in conformity with the Donation Acceptance Policy and published procedures, and proposed donations for research projects or other scholarly activities undertaken by named individuals.

Funds received from a third party who has selected the recipient (e.g., an external scholarship granting entity) shall be accepted and processed by the appropriate University office of student financial aid. Such funds are not considered donations.

5.   Goods or Services Received

The Canada Revenue Agency (CRA) requires the University to verify that no goods or services were received by the donor in exchange for a donation, in order for the donation to qualify for a full charitable receipt.

6.   Donation Refunds

The University of Alberta does not refund donations, except in limited circumstances. A request to refund a donation must be documented and approved by the DAC.

7.   Donations from Vendors

Consideration of solicitations of support from vendors to the University must be carried out in an open and transparent process; in conformity with the University *Prospect Management Policy* and in consultation with the Chief Advancement Officer, Vice-President (Facilities and Operations), and Vice-President (Finance and Administration). Processes to procure of goods and services must not be associated with, or related to, the

solicitation or receipt of donations. Therefore, solicitation should not take place before or during the procurement process or be included as part of a contract to provide services to the University. Should there be any conflict, perceived or real, regarding the solicitation of major gifts from university suppliers, the issue should be raised with the Chief Advancement Officer for review and consideration. In addition, gifts of $500,000 (CAD) or more from a single donor will be reviewed with Financial Services to ensure no benefit is derived by the donor due to the donation.

8. Donations from outside of Canada

Individuals, corporations, foundations, and other organizations (e.g. associations, educational institutions) from outside of Canada may wish to support the University. Donations from such entities must conform to University policies and procedures and, where applicable, federal and provincial law.

9. Sponsorships

In the context of donations to the University, "Sponsorship" is that part of a donation for which a donor receives, and the University agrees to provide, a benefit or advantage that is beyond standard University donation recognition practices, including any part of a donation that does not meet CRA guidelines for charitable receipting.

Such Sponsorship, when accepted by the University, is not to be contingent on event attendance, ratings, or public exposure.

DEFINITIONS

Any definitions listed in the following table apply to this document only with no implied or intended institution-wide use. **[▲Top]**	
Donations	May take the form of an "expendable gift" or an "endowment donation".
Acceptance	The decision by the University to accept a donation in accordance with the Donation Acceptance Policy.
Expendable Gift	A donation made through a voluntary and irrevocable transfer of property by a donor, to the University, to be available for immediate expenditure by the University, in return for which no valuable benefit flows to the donor.
Donations to Endowments	A donation where the University receives property from the donor to hold, as trustee, in a charitable purpose trust and spending allocations are generated for use in support of the purpose or object of the endowment. Donations can augment existing endowments or create new ones.
Donation Acceptance Committee (DAC)	The committee established to review and consider acceptance of proposed donations with special circumstances. The Committee also reviews the Donation Acceptance Policy and Procedure.
Property	An asset with determinable value such as cash, securities, life insurance interest, art, or real property.
Recording Secretary	Receives gifts on behalf of the University, and works closely with donors and University staff to ensure the timely and accurate recording of commitments. The Recording Secretary directs and manages the office responsible for recording gifts and commitments to the University; provides expertise and consultation within Advancement and to University faculties, schools, departments, laboratories, centres, and institutes on gift policies and procedures; and works directly with

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	donors and their agents as appropriate.

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

Contract Review and Signing Authority Policy (University of Alberta)

Creation of New Awards and Bursaries for Undergraduate Students Procedure (University of Alberta)

Freedom of Information and Protection of Privacy Act (Government of Alberta)

General Faculties Council's Discrimination and Harassment Policy and Procedures and the University of Alberta Reasonable Accommodation Policy (University of Alberta)

Naming Policy (University of Alberta)

Philanthropic Naming of Academic Entities Procedure (see for Endowment Levels) (University of Alberta)

Prospect Management Policy (University of Alberta)

PUBLISHED PROCEDURES OF THE PARENT POLICY

Counting Practices for Philanthropic Support (see Sections 2 and 3 for accepted Donation Types and how they are recorded) (University of Alberta)

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

Anticipated Approval Date: June 15, 2012
Most Recent Edit Date: March 13, 2012

Parent Policy: Donation Acceptance Policy

Counting Practices for Philanthropic Support Procedure

Office of Administrative Responsibility:	Office of Advancement
Approver:	Office of Advancement (Chief Advancement Officer)
Scope:	Compliance with this University-wide procedure extends to all members of the University community.

Purpose

To support the fundraising efforts related to philanthropy at the University of Alberta. These guiding principles are informed by the Council for Advancement and Support of Education (CASE) Management and Reporting Standards, and requirements from the Canada Revenue Agency (CRA).

PROCEDURE

Donation types and Methods of Reporting

1. Fundamentals

On behalf of The University of Alberta, the Office of Advancement manages the practices that determine the eligibility of certain revenues for inclusion in fundraising achievement totals and whether to classify these revenues as donation, grant, or contract. The goal of these guiding principles is to ensure that fundraising totals report only those transactions that involve true philanthropic intent. The terms and definitions used in this document are for counting purposes only.

1.1. Donations, Grants and Contracts

- **Donation:** a contribution received by the University for either undesignated or designated use in the furtherance of the institution for which the institution has made no commitment of resources or services other than, possibly, committing to use the donation as the donor specifies.

- **Grant:** a contribution received by the University for either undesignated or designated use in the furtherance of the institution that typically comes from a corporation, foundation, or other organization, rather than an individual. The grantor can receive neither benefit nor retain explicit or implicit control over the use of the contribution after acceptance by the University.

- **Contract:** an agreement between the University and another entity to provide an economic benefit for compensation. The agreement is binding and creates a quid pro quo relationship between the University and the entity. Contracts are excluded from fundraising totals. Note: This definition is not intended to address donation annuity contracts or similar charitable instruments.

Additional detail on the differences between donations and grants can be found in section 3.1 of this document.

Donor Control

A donor may not retain any explicit or implicit control over the use of a donation after acceptance by the University. A donor can suggest a department or area to which the University should apply the contribution. However, no further involvement on the part of the donor is appropriate after donation acceptance. (Note: This section on donor control does not refer to revocable deferred donations or revocable or conditional pledges, which remain in the control of the donor until the University realizes them and are they are countable. This section speaks to the use of all donations once they are actually received by the University.)

The following examples of donor control preclude the counting of a transaction as a donation:

- A donor establishes a scholarship fund but requires that he/she be able to select the recipient.

- A donor makes an undesignated contribution while requiring the University to award a professorship to a specified individual.

- A donor contributes to a fund for a new art museum, provided the University selects an architect of the donor's choice.

- A computer equipment provider establishes a need-based scholarship, provided the University grants an exclusive contract for hardware acquisition to that provider for 36 months.

It is also important to note that consistent with CRA and Board of Governors policies, once a donor makes a donation the donation will be used consistent with University policies and the terms of reference that established the donation. For example, a donor to a particular department, centre, institute or other entity within the University who is involved on the advisory board of an entity associated with their donation may not request a particular faculty member be hired or that endowment income be used for something inconsistent with the terms of reference of the donation.

1.2. Exclusions

For the most part, if the CRA does not recognize a transaction as a charitable donation, then it is inappropriate to recognize the transaction as a donation for reporting purposes. There are a few exceptions for reporting which allow counting of irrevocable deferred donations reported at both current and discounted present value and revocable donations and conditional pledges reported at face value.

Common examples of exclusions are as follows:
- Contract revenues including clinical trial funds
- Grants from industry, foundations or government that include contractual obligations
- Contributions of services (that is, time, skills, effort) are not property and do not qualify.
- Government and other related party funding received
- Court ordered settlements/payments are not voluntary and cannot be considered a donation.
- Discounts on purchases (that are normally available as educational discounts)
- Donations or pledges previously counted
- Expenses incurred in the transfer of a donation to the University
- Donations to social organizations even if they are affiliated with the University (i.e. Fraternities, Student Clubs)
- Investment earnings on donation s after they have been given to the University
- Tuition or Fee payments
- Royalties from affinity agreements
- The payment of membership fees that convey the right to attend events, receive literature, receive services or be eligible for entitlements of any material value.

- Surplus income transfers from ticket-based operations, except for any amount equal to that permitted as a charitable deduction by the CRA when identified to donors as a donation in advance of their ticket purchase
- A payment for a lottery ticket or other chance to win a prize.
- Purchase of Goods or Services from the University
- Donations that the donor has directed the charity to give to a specified person or family.
- Donations that the donor has directed the charity to give to a non-qualified donee. (An entity that is not a registered or listed with the CRA)
- The payment of a basic fee for admission to an event or to a program, whether on behalf of the payer, a dependant of the payer, or someone designated by the payer regardless of whether or not the payment of the fee was voluntary.

1.3. **Fundraising Achievement Reporting Defined**

Fundraising Achievement is a measure of the new fundraising commitments made to the University on a fiscal year basis. It is based on the following formula:

New Pledges and Grants[a] + Donations and Matching Donations[b] - Pledge balances written off[c] = Fundraising Achievement

a. New pledges are the total of all appropriately documented pledge commitments received in the fiscal year. The total value of the pledge is included in the year the pledge commitment was made. For example a pledge of $100,000 to be paid over 5 years at $20,000 annually would be recorded at $100,000 in the year the commitment was made. The pledge payments received over this time are not included in Fundraising Achievement results as this would result in duplicate counting. Pledges include Grants and other commitments eligible for recording but not yet received.

b. Donation amounts received and recorded in the fiscal year. These amounts do not include pledge payments as the pledge payment value is captured in the initial pledge commitment. An exception is perpetual pledge payments which are recorded against pledges that have no total value. Example: a donor wishes to contribute $50 monthly on his/her credit card until he/she notifies us of their desire to stop. Donation amounts also include corporate matching donation s received.

c. Pledge balances are written off on a regular basis during the course of the year. The amounts that are written off prior to final totals being reported for the year are deducted from the total fundraising achievement amount.

1.4. **Eligible Portions in Split Receipts**

Split receipting policy interpretation of existing legislation, introduced in 2002 in Canada, is the method used for calculating the eligible amount of a donation for charitable tax receipting purposes when the donor has received an advantage (consideration) in return for his or her donation.

To determine the eligible amount for charitable receipting purposes, the value of the advantage must be subtracted from the value of the donation. **Only the eligible amount counts towards fundraising totals.** (See IT 110r3 bulletin and Technical News Bulletin #26 from CRA for details on the appropriate calculation.)

Criteria for split receipting

Where a donor receives an advantage in exchange for a donation, the registered charity must be able to accurately determine the fair market value of that advantage.

The donation, minus the advantage, must still constitute a voluntary transfer of property and meet the intention to make a donation threshold.

Intention to make a donation threshold

In cases where the value of an advantage received for a donation is more than 80% of the value of the donation itself, it is generally considered that there is no true intention to make a donation. Therefore, registered charities cannot issue a receipt where the value of the advantage returned to the donor is more than 80% of the fair market value of the donation.

In rare circumstances, when the intention to make a donation threshold has not been met, there may still have been a clear intention to make a donation. In these cases, the donor must establish to the satisfaction of the CRA that there was an intention to make a donation.

The de minimis rule

Certain advantages are of nominal value, and are considered too minimal to affect the value of a donation.

In applying the de minimis rule, advantages that have a combined value that does not exceed the lesser of $75 or 10% of the value of the donation are considered too minimal to affect the amount of the donation.

These advantages do not need to be deducted from the value of donation s when issuing receipts.

The de minimis rule does not apply to cash or near cash equivalents.

1.5. **Sponsorship**

Sponsorship is when a business makes a donation to a charity and, in return, receives advertising or promotion of its brand, products or services. While sponsorship is not counted in fundraising achievement totals, it will be recorded in Advance so it can be reported on.

If a business receives the same level of recognition as all other donors, with no special treatment, and the recognition is nominal, as in the form of a simple acknowledgment, a charitable tax receipt may be issued for the full amount of the donation.

However, while a simple "thank you" is not an advantage to the sponsor, advertising is. If a business receives special recognition for its donation, or if it receives more than nominal recognition (for example, banners, advertising of products), this constitutes sponsorship. A determination on whether special recognition constitutes sponsorship will be made by the Chief Advancement Officer.

Note, when the fair market value of the advantage received by the sponsor cannot be determined, a charitable tax receipt cannot be issued. However, it is common practice to issue a business receipt for the full amount given by the sponsor

In the context of donations to the University, "**sponsorship**" is that part of a donation for which a donor receives, and the University agrees to provide, a benefit or advantage that is beyond standard University donation recognition practices, including any part of a donation that does not meet CRA guidelines for charitable receipting,

A fair market value for any Sponsorship will be assessed by the Office of Advancement in collaboration with the sponsor and the end-recipient at the University, and the value of the Sponsorship will be deducted from any charitable tax receipt issued in respect of the donation. If the fair market value cannot be determined, a business receipt will be issued.

All academic and administrative units seeking Sponsorships must follow the policies and procedures in the Contract Signing Authority Policy.

For Sponsorship to qualify as a donation for counting purposes, all the factors below must exist:

a) The contribution must be made by a person or corporation engaged in a trade or business

b) The sponsor should not expect nor receive a substantial return benefit for payment other than name acknowledgment and/or promotional value

c) The promotional information should be limited to any or all of these:
- sponsor's location, telephone number, internet address
- value-neutral description of sponsor's products or services
- sponsor's brand/trade name or product/service listings.

There can be no qualitative or comparative advertising of a sponsor's products or services, such as pricing, savings, value, purchase/sale inducements, etc.; and the sponsorship is not to be contingent on event attendance, ratings, or public exposure.

2. Donation Types and Counting Criteria

Donations can be made and accepted in many forms. The information below identifies many of the most common forms a donation may take and explains how they are valued and recorded for counting purposes.

2.1. Donations of Cash, Cheques, Credit Cards and Wire Transfers

Amounts of cash, cheque and wire transfer donations are reported as of the date the University receives them. For donations denominated in foreign currencies, the value is based on the exchange rate in effect on that date as provided by the Cashiers Office. Donations made by credit card are recorded in much the same manner as donations made by cash or cheque, but the legal date of donation is determined differently. Credit card donations represent a loan transaction between the donor and the credit issuer. Therefore, the donation is not a donation until the University receives authorization for the charge from the credit card agency. Therefore credit card donations are counted on the date that the University receives approval from the credit card agency.

2.2. Donations of Publicly Traded Securities

The University in accordance with CRA requirements, values securities as the average of the high and the low trading price for the day (the date the donor relinquished dominion and control of the assets in favour of the University or trust). If the security was not traded on that date, the University's policy is to use the date of the most recent sale. Neither losses nor gains realized by the University's sale of the securities after their receipt, nor brokerage fees or other expenses associated with this transaction, should affect the value reported. Exactly when a donor relinquishes dominion and control depends upon the method of delivery of the securities to the University.

The University follows CASE's guidance for determining the legal date of donation:

Stock shares transferred electronically are considered a legal donation as of the date the stock is credited to the brokerage account of the University. While a donor may have instructed his or her broker to initiate a transfer on some earlier date, the fact that the broker delayed that transfer or moved the shares into a temporary holding account does not alter the fact that the University did not have control of the stock. In addition, until the stock is credited to the University's account, it is possible for the transfer to be reversed.

Therefore, for purposes of these standards, base the donation valuation on the date the stock came under the University's control.

Stock certificates that are mailed to the University are considered to be a legal donation as of the date of postmark for the certificate or signature-guaranteed stock power (a certified signature of the owner of the stock signing the stock over to the University) whichever is later.

Stock certificates that are sent to the University via a third-party provider, such as UPS or Federal Express, are considered to be a legal donation as of the date of receipt by the University.

Where a donor registers stock certificates in the name of the University, the stock is considered to be a legal donation as of the date of registration in the University's name.

2.3. Closely Held Stock or Private Securities

Donations of closely held stock should be reported at the fair market value placed on them by a qualified independent appraiser as required by the CRA for valuing donations of stocks that are not publicly traded.

2.4. Donations in Kind

Donations in kind include capital property and depreciable property, personal-use property (tangible property such as collections, works of art, cars, boats, etc.), a residual interest, a right of any kind whatever, a license, a share, securities and inventory of a business. (IT 297 R2) These will be counted at fair market value as determined in accordance with CRA regulations (and must have an independent appraisal if the value is more than $1,000, unless an exemption has been approved by the Office of the Recording Secretary). Any appraisal for a donation in kind must be completed by a qualified, competent and independent appraiser in accordance with appraisal standards in Canada.

For all donations in kind, especially items such as equipment and software, report the fair market value unless there is an educational discount value (if an educational discount is offered)—that is, the value the University would have paid had it purchased the item outright from the vendor. This point is key. Regardless of what estimated value a vendor may place on a donation in kind, the recipient should only count as a donation the amount it would have paid for the item or items were they not donated. In addition, donations not recordable as assets in the Financial Statements of the University may not be recorded as part of fundraising achievement totals.

Common examples of donations in kind include:

Deep discounts or bargain sales. If a company offers to sell a product to the University at a "deep discount" or "bargain sale," the company should provide a bill of sale clearly indicating the retail (or educational/non-profit discount) price, less the charitable contribution of the discounted amount, and a net cost. Record the discounted amount as a donation in kind. If, however, the same discount applies to purchases made by the University on a regular basis and is not uniquely identified as a special reduction to be considered as a donation, no donation should be counted. Thus, do not count as donations standard discounts afforded to the University based on the nature of its business or because it is a major or frequent customer. For example, if a corporation routinely provides a 20 percent discount on all purchases made by colleges and universities, that discount does not qualify as a deep discount or bargain sale contribution.

Royalties. The University may receive donations of royalties from property it does not own (such as patents)—or from property that could not be valued and thus was not counted at the time of the donation— the income received resulting from that ownership can be counted and reported each time a payment is received. Do not enter a pledge in anticipation of such payments, as there is no guarantee of the amount or continuation of an income stream. Royalties from vendor affinity agreements, such as alumni credit card programs, are exchange transactions and are not countable. Treat donations from separately incorporated

alumni groups as donations from that group, unless the group is a registered supporting organization permitted to act as a fiscal agent of the University, in which case count the donations from the individuals.

Donations of gas, oil, and mineral rights. Ownership of gas, oil, or mineral facilities should be counted and reported at the readily determinable face (or fair market) value. Alternatively, if the fair market value is not known and cannot be readily determined, report the asset in the year the value becomes known. For donations of royalties from facilities not owned by the University, report the amount received each year.

Services. The value of a person's or organization's time or service is not considered a charitable contribution and is not countable, regardless of whether the individual assists as a volunteer or as a professional providing a specialized service (e.g., accounting, legal work, consulting, printing, etc.). The University, in accordance with CRA requirements, asks volunteers providing professional services to bill the institution for the service, accept payment from the institution, and then make a cash donation to the institution. This cash donation is usually eligible for a charitable tax credit. In contrast, an individual could not claim the same the same charitable tax credit for their time.

Software and hardware. Treat irrevocable donations of software or hardware with an established retail value like other donation in kind and count at the educational discount value (if one exists) or the fair market value, as long as the agreement qualifies as a charitable donation under the laws of the appropriate tax authority. In so-called "mega-donations," companies seek to use an institution as a test site for newly developed software or hardware with no established retail price, although the company may have its own estimate of the software's value. Institutions entering into such agreements need to ascertain whether they are donations, partial interests, or exchange transactions according to the CRA and these standards.

Large software donations can be highly complex. The following list suggests various methods for assisting in assessment of the countable value of certain components of those contributions:

a. **Value to the University**. Count only software donations that serve the academic or research purpose of the University.

b. **Donation value**. As with other donations in kind, the donor should provide the University with a written confirmation of the dollar value of the donation at the educational discount price. If no educational discount is available, it must be so stated in the letter from the donor and the established retail value shall be used. If there is no established retail price for the software, no amount can be counted or reported until such a value is determined, such as by a qualified independent appraisal or when the software product is available for purchase on the open market.

c. **Revocation of donation**. A donor must irrevocably transfer ownership of the property to the University for the property to be considered a donation. There must be no implicit or explicit statement of exchange, purchase of services, or provision of exclusive information.

2.5. Life Insurance

Count the insurance company's settlement amount for an insurance policy whose death benefit is realized during the year (whether or not the policy is owned by the University) to the extent that no donation amount was counted previously.

Consider donations of whole life insurance policies a donation only if the donor names the University both owner and irrevocable beneficiary of the policy. (Do not count revocable policies.) The University adheres to the following standards in reporting this donation:

- Report partially or fully paid-up life insurance policies as outright donations at the cash surrender value as identified in writing by the insurance provider.

- If the policy is new or not fully paid up at the time of donation, report premium payments the donor makes to the insurer or the University (which in turn pays the premium to the insurer) as outright donations at the full value of the premiums paid. This is consistent with current CRA regulations authorizing such payments as eligible charitable contributions. Documentation of these payments must be received from the insurer and must identify who made the payments.

- Report realized death benefits as donation income for fundraising purposes only if the University has never previously recorded the policy value or any donor-paid premiums as donation income and if the University has not been paying the premiums. If you have already reported the values, do not report as a donation the difference between the previously reported values and the amount of the insurance company's settlement at the death of the donor. This is a gain on the disposition of the University's assets.

If the University receives the proceeds of an insurance policy in which it is the beneficiary, but not owner, report the full amount of the insurance company's settlement at the death of the donor as a donation on the date the University receives the proceeds.

2.6. **Pledges**

Pledges are commitments to make future donations. Only the entity exercising legal control over the assets to be given can make a pledge. Therefore, an individual cannot make a pledge that includes anticipated matching contributions from an employer or some other source. Nor can an individual commit funds that may come from a donor-advised fund or community foundation. A countable pledge includes only those funds that will be given by that legal entity.

"Conditional" pledges are those that place requirements on the University to perform some task or take some sort of action that it might not otherwise initiate. A conditional pledge may also depend on some future event over which neither the University nor donor may have control. Examples of conditional pledges are challenge donations, donations for capital projects (if pledge is conditional on either raising other funds or moving forward with the plans to build or renovate), and pledges that are non-binding on the donor's estate.

Report conditional pledges at face value that are pledged during a year if:

- there is a reasonable expectation that the conditions under which the pledge is made will be met during the year period, *and*

- there is appropriate documentation, most likely in the form of a donation agreement. The documentation should include dollar amounts and a payment schedule.
  Record conditional pledges as revocable donations.

A pledge may take either of two forms:

- Oral pledges. Count and report in totals only oral pledges made through an authorized telethon or phonathon campaign or program. This assumes that the University mails some form of confirmation notice to the donor immediately following the solicitation period. An oral pledge is not to be confused with a conditional pledge, they are not the same.

- Written pledges of assets. Document pledges of a donor's assets, committing to a specific dollar amount that the donor will pay according to a fixed time schedule.

All pledges require formal written documentation.

The pledge is payable in full no later than 5 years from the date of the pledge. Exceptions to this time period must be approved by the Chief Advancement Officer.

Pledges are reported at the time the pledge is accepted by the University and the Office of Advancement and Alumni Affairs receives the documentation of the commitment.

The pledge value is generally recorded at face value for the total of the pledge in year the commitment is made.

2.7. Planned/Deferred Donation Instruments

Deferred donations, also called "planned gifts" or "future commitments," play a very important role in the development of an overall giving strategy when a fundraising professional is working with a donor or prospect. These types of commitments differ from outright donations because the University does not realize an asset until some point in the future. For this reason— the uncertainty of timing of realization—separate goals for deferred and outright donations are identified and tracked. Some of the primary deferred donation types include but are not limited to, charitable remainder trust, residual interest, and charitable gift annuity.

Irrevocable Deferred Donations

Irrevocable deferred donations are included in Fundraising Achievement totals at face value, but both current face and discounted present values are reported. Irrevocable deferred donations are recorded separately from outright donations and revocable deferred donations.

Revocable Donations

Revocable donations may be included in Fundraising Achievement totals at face value if pledged during the year, are appropriately documented, and reported separately from outright donations and irrevocable deferred donations. Appropriate documentation might include a commitment in writing from the donor, his or her legal counsel or financial advisor, or a copy of the bequest intention, retirement plan or other document outlining the ultimate source of the donation. Documentation should include a statement about the assumed value of the donation.

If a revocable donation is realized or becomes an irrevocable deferred donation during the year in which it was pledged, the value of the donation should be subtracted from the revocable commitment category and added in the appropriate category as an outright or irrevocable donation. If a revocable donation is realized during a future year, only amounts not attributed to the original year may be counted in the new year.

In the case of externally managed irrevocable life income trusts that allow the donor to change the charitable beneficiary, because the designation is not irrevocably pledged to the University, it should be counted as a revocable donation, at face value, and in the revocable donation category. Record conditional pledges as revocable donations.

Some generally accepted accounting principles for educational institutions provide for omitting the assets of trusts administered by others from the institution's records as the preferred alternative to the above treatment. In other cases, some generally accepted accounting principles require recognizing the assets and related revenue. Because an objective of these standards is to measure fundraising performance, these assets should be included in donation totals regardless of the treatment by the accounting department.

3. General guidelines for Fundraising Management

3.1. Donations And Grants

The definitions below provide additional detail to section 1.1 in outlining the differences between donations

and grants.

3.1.1. **Donations**

A donation is a contribution received by the University for either undesignated or designated use in the furtherance of the institution for which the institution has made no commitment of resources or services other than, possibly, committing to use the donation as the donor specifies (see Section **1.2,** "Donor Control"). The contribution is a nonreciprocal transfer in that there is no implicit or explicit statement of exchange, purchase of services, or provision of exclusive information. If the donor receives benefits in return for the contribution, the true value of the donation is the amount over and above the fair market value of any benefits received as identified under split receipting guidelines by CRA. Whether or not the University has an obligation to report to the donor how a donation is used or invested does not preclude the transaction from being identified as a donation, such reporting is an important element of good donor stewardship.

3.1.2. **Grants**

A grant is a contribution received by the University for either undesignated or designated use in the furtherance of the University that typically comes from a corporation, foundation, or other organization, rather than an individual. The University may determine that what a donor calls a grant is, for fundraising recordkeeping, a donation.

Grants normally fall into two categories, both of which are philanthropic in nature and thus countable:

- Non-specific grant: a grant received by the University that did not result from a specific grant proposal. The University does not commit specific resources or services and is not required to report to the donor on the use of the funds. It is this type of grant that the University may opt to designate as a donation for internal accounting purposes.

- Specific grant: a grant received by the University resulting from a grant proposal submitted by the University. The University commits resources or services as a condition of the grant, and the grantor often requests an accounting of the use of funds and of results of the programs or projects undertaken. Note: The grantor's requirement of regular status reports or other reports does not negate the philanthropic (and countable) nature of a specific grant.

Note: any grant determined to be sponsored research will be subject to charges of overhead and other policies of the Office of the Vice-President of Research. Sponsored research is funded by an external agency either through a grant or contract typically in response to a request or proposal. A formal agreement is entered into by the University of Alberta and the sponsor, and the agreement is usually comprised of a specified statement of work with a related deliverable.

Where potential questions or ambiguities arise, the Chief Advancement Officer and Vice-President (Research) will coordinate activities closely in order to avoid multiple/competing solicitations from the same sources.

3.2. **Guidelines for Handling Certain Types of Donations**

Beyond the specific requirements found in the standards for the purposes of reporting, the University offers these additional recommendations for handling the following types of donations:
- deferred donations
- donations made by credit card
- donations of closely held stock

- donations of life insurance
- matching donations
- government funds

3.2.1. Deferred Donations

The University records deferred donations at both their face value and their discounted present value for fundraising achievement purposes. It is useful to report deferred donations at both the face value and discounted present value for the following reasons:

- Reporting both values accurately and transparently reflects both the actual funds donated (face value) and the long-term benefit to the University (present value) by a standardized methodology.

- Reporting both values indicates to benefactors that the University welcomes their support in the form and at the time most convenient to the donor.

- Reporting both values signals that the University recognizes the importance of its fundraising efforts both for its near-term goals and its long-term aspirations.

- Reporting both values ensures that the contributions of all fundraising staff are appropriately valued, whether their efforts result in immediate or future contributions.

3.2.2. Donations Made by Credit Card

Because credit card donations should not be counted or reported until the date that authorization is received, and the University offices are closed for the holidays or winter break just prior to the end of the calendar year, donors should be encouraged to make these year end credit card donations through the secure online donation processing system to ensure that processing occurs prior to calendar year end. Should a credit card donation be received during this period by mail, fax, or e-mail (the latter two are highly discouraged for security reasons) the donor's attempt to make a donation before the turn of the year will have been thwarted. This may result in a potentially difficult donor relations situation.

3.2.3. Donations of Life Insurance

The donation of a whole life insurance policy is a relatively inexpensive way for a donor to leave a significant future donation to the University. A new policy may be taken out on the life of a younger donor to create a future major donation to a charity, with the cost of the premium being a small fraction of the value of the policy. Donors may also have existing policies that are no longer needed for their original purposes—for instance, a policy to pay off a mortgage in the event of an untimely death that is unnecessary once the mortgage has been paid. By changing the policy ownership to the charity and naming the charity as beneficiary, the donor can contribute the existing cash value and subsequent (if any) premium amounts to the charity to maintain the policy's face value or, if the donor chooses not to continue the payments, the University can regard the policy as "paid up" with a lower face value. The University may opt to continue those premium payments if it desires.

3.2.4. Corporate Matching Donations

In recording and counting these contributions, the University must take care to meet the requirements of the matching entity. Often a company will indicate that its donation is "undesignated." Usually, this does not mean that the donation must go to an undesignated account using accounting terminology. It does mean that the company has not placed any restrictions on the donation, and you can apply the donation to any charitable purpose at the qualified organization. The University will credit the same fund as the

original donation made by the donor. Some corporations have restrictions on what their matching funds support. The University must determine, in these cases, a use of the funds that would be acceptable to the company

3.2.5. **Government Funds**

While not donations, funds awarded to the University by government entities are very important in helping achieve strategic goals. They often are secured competitively with the help of fundraising staff and they may be specifically intended to leverage donations. However, by its very nature, government funding differs fundamentally from philanthropy and so the University does not count federal or provincial government funds in fundraising reports. On the other hand, donations/grants from municipal and regional (county) governments contributed towards endowments may count in fundraising totals pending review and approval of each contribution by the Chief Advancement Officer.

3.2.6. **Related Party Funding**

The University does not include contributions received from organizations deemed to be a related party to the University in its fundraising totals. This includes all Provincial Government related organizations.

3.2.7. **Guidelines for Handling Pledges**

The University of Alberta uses the following guidelines for pledge documentation, duration, and review.

3.2.7.1. **Pledge Documentation**

It is necessary that the donor stipulate the amount, purpose, and payment period in a written document to the University. This should be done on the approved pledge form or donation agreement. The pledge form or donation agreement should be signed by the donor. Alternatively, you may attach sufficient back-up from the donor regarding the pledge to the pledge form (i.e. letter).

3.2.7.2. **Pledge Duration**

The pledge-payment period should not exceed five years. This may not always be practical from a donor- relations perspective and in such cases, pledges of a lengthier time period may be recorded with Chief Advancement Officer approval.

3.2.7.3. **Pledge Write Off Process**

As a matter of best practice in pledge accountability, an annual review of all open pledges to ascertain their viability and the likelihood of their fulfillment will be conducted.

Once all regular pledge reminder processes are exhausted, overdue pledges will be handled as follows:

(i) A list of $1,000+ overdue pledges will be shared with the Chief Advancement Officer on a quarterly basis for review and direction.

(ii) Pledges under $1,000 and 60 days past due will be written off through the Annual Giving Office.

(iii) If the donor has a prospect manager, the Prospect Manager will be notified of pledges over $1000 and 60 days past due and will be written off with the consent of the Prospect

Manager and/or the appropriate development officer. Prospect Managers will document contacts with donors regarding overdue pledges

NOTE: The preferred alternative to writing off a pledge is a revised pledge payment schedule, coordinated and confirmed by the Prospect Manager and/or the appropriate development leader.

(iv) Pledges of $100,000 to be written off also require the consent of the Chief Advancement Officer.

3.2.8. Guidelines for Donor Recognition

The standards that institutions must follow for reporting fundraising totals are based on who is the legal donor. Still, institutions are free to bestow recognition (soft credit) upon their donors as they see fit. With that in mind, the following guidelines will be used by the University of Alberta for allocating soft credit.

Three types of credit can be allocated a donation/pledge in the Advance database

3.2.8.1. **Hard Credit (Legal Credit)** is given to the legal donor, the individual or organization that is transferring ownership of the donation to the University. This amount is equal to the amount of the donation and will be allocated according to CRA requirements for receipting.

3.2.8.2. **Soft Credit** is given to individuals and organizations that should be recognized for the donation and is used for recognition purposes only. The soft credit for each donor recognized is equal to the amount of the donation (donations from community or public foundations are an exception to this rule). Soft credit for a donation can be given to more than one individual or organization. Matching donation credit is used to link matching donations to specific donor donations previously received. This is simply another form of soft or recognition credit.

There are two types of matching credit:

3.2.8.3. **Corporate Matching Donation** – this is a program where specific corporations agree to match the donations of employees, under certain conditions. In this case the corporate matching donation is hard credited to the corporation and the donor being matched receives matching donation credit.

3.2.8.4. **Access to the Future Matching** – In 2005 the Government of Alberta established the Access to the Future program to match specific donations from individual and corporate donors to the University of Alberta. Determination of which donations will be matched is determined by University Administration, with recommendations by the Chief Advancement Officer. Those donations matched, whether individual or corporate will receive matching credit.

3.2.9. Soft Credit Guidelines

3.2.9.1. **Spouse/Partner Relationships** – Donations and pledges will automatically be soft credited to both individuals if relationship is known. Donors may ask for their donations not to be soft credited with their spouse.

3.2.9.2. **Businesses owned or controlled by an individual including professional corporations** – Soft credit should be allocated to the individual(s) if the relationship is known.

3.2.9.3. **Personal or Family Foundations** – Soft credit can be allocated to family members at the request of the Foundation or the family members (Prospect Manager responsible for identifying

soft crediting).

3.2.9.4. **Donor-advised Funds**
Donations made through a donor-advised fund are a donation from an organization, not an individual. However, the donor who made the original donation to the fund (and that person's spouse or partner, if applicable) receives soft credit for the amount the fund contributed to the University.

3.2.9.5. **Community and Public Foundations** - If the foundation provides amounts and names of their donors, the University will soft credit the individual or organization that made the initial donation. If original donor information is not provided by the foundation soft credit will simply be applied to the Foundation.

3.2.9.6. **Public Corporations** –Soft credit will be allocated to the corporation not to individuals instrumental in assisting with the donation. International family held corporations with headquarters outside of Canada will be reviewed on a case by case basis for appropriate soft credit allocation to individuals.

3.2.9.7. **Donations made in Honour or in Memory of an individual** - The individual being memorialized is associated with the transaction but not given soft credit value.

3.2.9.8. In all instances listed above the soft credits identified are in addition to the soft credit applied to the Primary donor (writer of the cheque).

3.2.10. **Matching Credit Guidelines**

3.2.10.1. **Corporate Matching Donations** – Many companies now use foundations and donor-advised funds to administer their matching donation programs. Such donations count as coming from the legal donor (usually the foundation or fund). In such cases, matching credit is given to the donor whose donation was matched.

3.2.10.2. **Access to the Future Matching Grants** – Although not reported in fundraising totals, the donor being matched is recognized with a matching credit.

There is a shared responsibility for all members of the development and alumni affairs community to ensure key information is recorded in the Advance database to allow crediting for recognition purposes (i.e. spousal information, individual owners of specific corporations).

3.2.11. **Lifetime Giving**

Lifetime Giving is the total of all donations attributable to a donor for recognition purposes. Lifetime giving is based on standard formula and the following calculation is used to determine this total.

Household giving (joint donations) + Related Corp. Giving + Corp Matching + Pledges - pledges write offs

DEFINITIONS

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

Donation	A contribution received by the University for either undesignated or designated use in the furtherance of the institution for which the institution has made no commitment of resources or services other than, possibly, committing to use the donation as the donor specifies.
Grant	A contribution received by the University for either undesignated or designated use in the furtherance of the institution that typically comes from a corporation, foundation, or other organization, rather than an individual. The grantor can receive neither benefit nor retain explicit or implicit control over the use of the contribution after acceptance by the University.
Contract	An agreement between the University and another entity to provide an economic benefit for compensation. The agreement is binding and creates a quid pro quo relationship between the University and the entity. Contracts are excluded from fundraising totals. Note: This definition is not intended to address donation annuity contracts or similar charitable instruments.
Sponsorship	Is when a business makes a donation to a charity and, in return, receives advertising or promotion of its brand, products or services.
Donations in Kind	Include capital property and depreciable property, personal-use property (tangible property such as collections, works of art, cars, boats, etc.), a residual interest, a right of any kind whatever, a license, a share, securities and inventory of a business.
Pledges	Are commitments to make future donations. Only the entity exercising legal control over the assets to be given can make a pledge.

FORMS

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

RELATED LINKS

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

Access to the Future Fund (Government of Alberta)

CAS Reporting Standards and Management Guidelines (Council for Advancement and Support of Education)

Canada Revenue Agency (Government of Canada)

Charitable Fund-Raising Act and Regulations (Government of Alberta)

Contract Review and Signing Authority Policy (University of Alberta)

Freedom of Information and Protection of Privacy Act (Government of Alberta)

Naming Policy (University of Alberta)

Philanthropic Naming of Academic Entities Procedure (see for Endowment Levels) (University of Alberta)

Prospect Management Policy (University of Alberta)

PUBLISHED PROCEDURES OF THE PARENT POLICY

Donation Acceptance Procedure (University of Alberta)

From: Brygeda Renke <brygeda.renke@ualberta.ca>
Subject: **Re: Consultation: Donation Acceptance Policy - Office of Advancement**
Date: April 13, 2012 1:13:21 PM MDT
To: "O'Neil Outar" <oneil.outar@ualberta.ca>
Cc: "Herman, Donna" <donna.herman@ualberta.ca>, "<imaclare@ualberta.ca>" <imaclare@ualberta.ca>, "Hornland, Lindsey" <lhornland@ualberta.ca>, "Spark, Jay" <jay.spark@ualberta.ca>

Looks like you put a lot of work into it. Very thorough.

Brygeda

On 12-04-13 11:21 AM, "O'Neil Outar" <oneil.outar@ualberta.ca> wrote:

Thank you Brygeda.

-- O'Neil

On 2012-04-13, at 10:56 AM, Brygeda Renke <brygeda.renke@ualberta.ca> wrote:

Re: Consultation: Donation Acceptance Policy - Office of Advancement Dear Donna

I have reviewed the attached documents that were provided to me and make no comments. Thank you for consulting us.

Brygeda

Please note: AASUA's new website address has changed to aasua.ualberta.ca <http://aasua.ualberta.ca> . Please adjust your bookmarks accordingly.

Brygeda Renke
Executive Director
Barrister & Solicitor

Association of Academic Staff University of Alberta
8215 – 112 Street
Edmonton, Alberta
T6G 2C8

My Direct Phone: 780.492.0654
My Email: brenke@ualberta.ca

Office Phone: 780.492.5321
Fax: 780.492.7449

Office email: aasuarec@ualberta.ca

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ü Please consider the environment before printing this email.

OUTLINE OF ISSUE

Agenda Title: **University of Alberta Faculty of Arts and Ritsumeikan University (Japan) Proposed Dual Undergraduate Degree Program (Bachelor of Arts (BA))**

Motion: THAT the GFC Academic Planning Committee approve, under delegated authority from General Faculties Council, the proposal from the Faculty of Arts for the establishment of a University of Alberta Faculty of Arts and Ritsumeikan University (Japan) Dual Undergraduate Degree Program (Bachelor of Arts (BA)), as submitted by the Office of the Dean of the Faculty of Arts (and as set forth in Attachment 1), to take effect upon final approval.

Item

Action Requested	☒Approval ☐Recommendation ☐Discussion/Advice ☐Information
Proposed by	Faculty of Arts
Presenters	Bill Street, Associate Dean (Student Programs), Faculty of Arts; Melissa Casey, International Specialist and Manager of International Partnerships, Faculty of Arts
Subject	Dual Degree (Bachelor of Arts (BA)) Program Partnership/Faculty of Arts Proposed Dual Undergraduate Degree Program with Ritsumeikan University (Japan)

Details

Responsibility	Provost and Vice-President (Academic)
The Purpose of the Proposal is (please be specific)	The Faculty of Arts is pursuing a Dual Degree Program partnership with Ritsumeikan University (Japan). This undergraduate partnership would allow strong academic students (incoming to the University of Alberta) the opportunity to study at both the University of Alberta and Ritsumeikan University as they complete the degree program requirements of both universities (minimum 150 credits total). Upon successful completion of the degree program requirements for both universities, as already established at our respective universities and as highlighted in the Memorandum of Understanding (MOU) document, students will be awarded two BA degrees – one from each institution.
The Impact of the Proposal is	- The Faculty of Arts BA Dual Degree Program proposal will be one of the first of its kind at the undergraduate level. - Such a dual program offering is anticipated to be very attractive to top academic international students, increasing the number of quality students we have studying within the classroom, engaging in undergraduate research, and contributing to our student community. - This style of agreement will give the Faculty of Arts leverage to be able to move into new international target markets where such a partnership would be deemed valuable, supporting the Faculty to build diversity in our international undergraduate enrollment. - The students will complete a larger overall number of credits (~150-170, depending on the partner) between the two institutions, which matches the existing precedent for awarding two parchments for completion of this number of credits in our combined degrees programs (ie, BA/Bachelor of Education (BEd), BSc/BEd, Bachelor of Music (BMus)/BEd). - Developing strong partnerships with viable international partners will open doors and/or strengthen research relationships within our Faculty (ie, Department of East Asian Studies relationship with Ritsumeikan University (Japan) will be further strengthened through

UNIVERSITY OF ALBERTA UNIVERSITY GOVERNANCE	**GFC ACADEMIC PLANNING COMMITTEE** For the Meeting of May 9, 2012

FINAL Item No. 7

	the establishment of a dual degree program with Ritsumeikan University).
Replaces/Revises (eg, policies, resolutions)	N/A
Timeline/Implementation Date	Upon final approval.
Estimated Cost	There are no substantial programming costs anticipated for this style of agreement since students will be completing degree requirements from existing programs and course offerings. Reasonable costs may be associated with visiting and/or hosting partner universities on an annual basis, as well as establishment of a modest scholarship for an incoming student (~$5,000 per year).
Sources of Funding	The international student differential that is gained from the student enrollment will support the Faculty in covering these costs as part of our international strategy.
Notes	N/A

Alignment/Compliance

Alignment with Guiding Documents	*Dare to Discover*: Through the 'Connecting Communities' cornerstone, enhances relationships with an international partner thereby enriching the educational environment; *Dare to Deliver's* engaging communities near and far: "Increase the number, attractiveness and affordability of genuine joint programs, semesters abroad, bilateral exchange programs…Support new academic programs with a global perspective." *Dare to Deliver,* under Connecting Communities, "…creating international opportunities for University of Alberta students [and …] collaborating internally and with our partners around the world to create more dual and joint-degrees for both graduate and undergraduate students"
Compliance with Legislation, Policy and/or Procedure Relevant to the Proposal (please quote legislation and include identifying section numbers)	1. ***Post-Secondary Learning Act (PSLA)***: The *PSLA* gives GFC responsibility, subject to the authority of the Board of Governors, over academic affairs (Section 26(1)). 2. *PSLA*: GFC may make recommendations to the Board of Governors on a number of matters including the budget and academic planning (Section 26(1)(o)). GFC delegates its power to recommend to the Board on the budget and on new or revised academic programs to the GFC Academic Planning Committee (APC). 3. *PSLA*: The *PSLA* gives Faculty Councils power to "provide for the admission of students to the faculty" (29(1)(c)). 4. *PSLA*: The *PSLA* gives Faculty Councils the authority to "determine the programs of study for which the faculty is established" (Section 29(1)(a)); to "provide for the admission of students to the faculty" (Section 29(1)(c)); and to "determine the conditions under which a student must withdraw from or may continue the student's program of studies in a faculty" (Section 29(1)(d)). 5. **UAPPOL Shared Credentials Policy** is available for review at: https://www.conman.ualberta.ca/stellent/groups/public/@academic/documents/policy/pp_cmp_071730.hcsp 6. **UAPPOL Overlapping Programs Proposal Procedure** is available for

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review at:
https://www.conman.ualberta.ca/stellent/groups/public/@academic/documents/procedure/pp_cmp_071731.hcsp

7. **GFC APC's Terms of Reference (Mandate):** GFC delegated the following to GFC APC, the Provost and Vice-President (Academic) and the Dean of FGSR:

"Existing Undergraduate and Graduate Programs:
- Extension and/or Substantive Revision of Existing Programs
- Revisions to or Extension of Existing Degree Designations

All proposals for major changes to existing undergraduate and graduate programs (eg, new degree designation, new curriculum) shall be submitted to the Provost and Vice-President (Academic).
[…]
The Provost and Vice-President (Academic), after consultation with relevant Offices, committees or advisors[,] will place the proposal before APC. APC has the final authority to approve such proposals unless, in the opinion of the Provost and Vice-President (Academic), the proposal should be forwarded to GFC with an attendant recommendation from APC. […]" (3.13.)

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Routing (Include meeting dates)

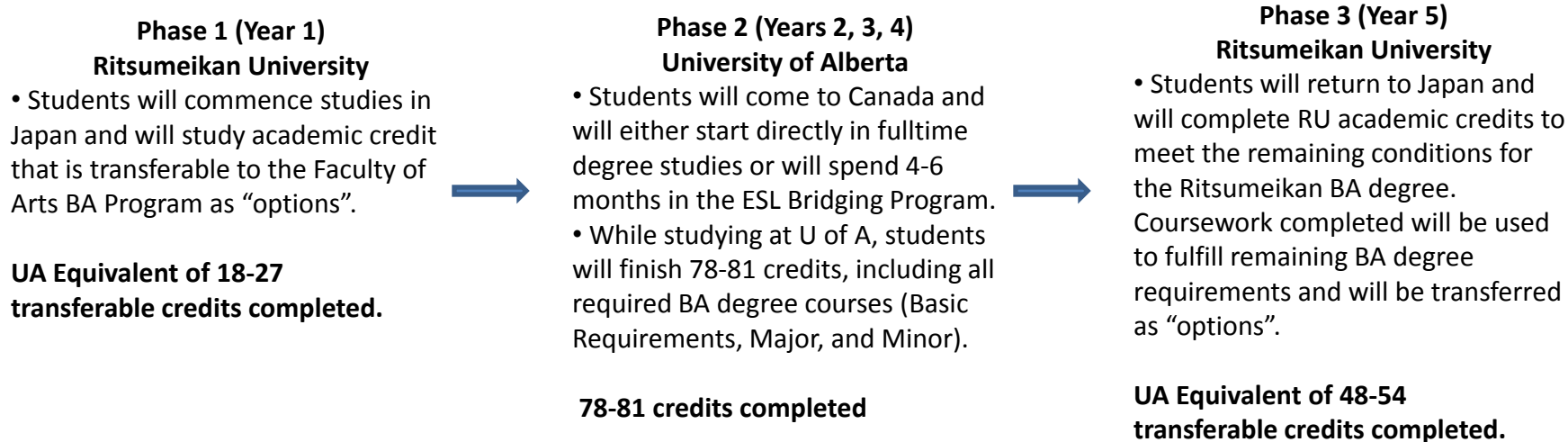|	
Consultative Route (parties who have seen the proposal and in what capacity)	Arts Deans' Council (November, 2011); GFC ASC Subcommittee on Standards (April 3, 2012); University of Alberta International (ongoing)
Approval Route (Governance) (including meeting dates)	Arts Executive Committee (March 8, 2012) – for recommendation; Arts Faculty Council (April 11, 2012) – for recommendation; GFC Academic Planning Committee (May 9, 2012) – for final approval
Final Approver	GFC Academic Planning Committee

Attachments (each to be numbered 1 - <>):

1. Attachment 1 (pages 1 – 13): University of Alberta Faculty of Arts and Ritsumeikan University (Japan) Proposed Dual Undergraduate Degree Program (Bachelor of Arts (BA))

Prepared by: Melissa Casey, International Specialist and Manager of International Partnerships, Faculty of Arts, melissa.casey@ualberta.ca

UNIVERSITY OF ALBERTA
FACULTY OF ARTS

Faculty of Arts - Dual Degree Program Overview
Proposed Partnership with Ritsumeikan University (Japan)

The following model represents the Dual Degree Program (DUDP) that has been drafted with Ritsumeikan University (RU). It is based on a five year (total) program with two years of study planned in Japan and three years at U of A. At this time the program has been designed for incoming students only.

Phase 1 (Year 1)
Ritsumeikan University
• Students will commence studies in Japan and will study academic credit that is transferable to the Faculty of Arts BA Program as "options".

UA Equivalent of 18-27 transferable credits completed.

Phase 2 (Years 2, 3, 4)
University of Alberta
• Students will come to Canada and will either start directly in fulltime degree studies or will spend 4-6 months in the ESL Bridging Program.
• While studying at U of A, students will finish 78-81 credits, including all required BA degree courses (Basic Requirements, Major, and Minor).

78-81 credits completed

Phase 3 (Year 5)
Ritsumeikan University
• Students will return to Japan and will complete RU academic credits to meet the remaining conditions for the Ritsumeikan BA degree. Coursework completed will be used to fulfill remaining BA degree requirements and will be transferred as "options".

UA Equivalent of 48-54 transferable credits completed.

• Total minimum number of credits required = 150 (U of A equivalent).

• All requirements for the U of A BA degree program will be met. Courses counted towards BA Basic Requirements, Major, and Minor will be completed while students are in Canada.

• Coursework taken in Japan will be transferred to the BA program as "Arts Options" according to existing transfer credit rules (including minimum passing grade of C- on RU coursework to qualify as transfer credit).

• Upon successful completion of coursework in Year 5 at Ritsumeikan University, the student will authorize transcripts from each institution to be exchanged and upon successful evaluation of academic performance, two Bachelor of Arts degree programs will be awarded.

ACADEMIC COOPERATION AGREEMENT FOR A DUAL DEGREE PROGRAM

between

**The Governors of the University of Alberta as represented by the Faculty of Arts
Located in Edmonton, Alberta, Canada**

and

**Ritsumeikan University, as represented by the College of Letters
Located in Kyoto, Japan**

WHEREAS the Faculty of Arts, University of Alberta (hereinafter called "UAlberta") is a university continued pursuant to the terms of the *Post-Secondary Learning Act of Alberta* and desires to enter into a cooperative relationship with Ritsumeikan University for the establishment of the Dual Degree Program;

WHEREAS Faculty of Letters, Ritsumeikan University (hereinafter called "RU") is a university continued pursuant to the terms of the *Basic Act on Education and the School Education Law* in Japan and desires to enter into a cooperative relationship with the Faculty of Arts, University of Alberta for the establishment of the Dual Degree Program;

WHEREAS both institutions are autonomous, self-governing entities with the power to enter into agreements considered to be in their best interests and to advance their ability to achieve the requirements of their mission and mandate;

AND WHEREAS RU and UAlberta have agreed to enter into this Academic Cooperation Agreement for a Dual Degree Program (hereinafter called the "Agreement") that enables them to work together in the pursuit of the objectives set out herein.

NOW THEREFORE this Agreement sets out the intent of the working relationship between the Parties as follows:

Purpose:

UAlberta and RU, recognizing that establishing a framework of continuing cooperation would be of mutual benefit to both institutions and would serve as a useful resource in the area of undergraduate dual degree program study, on this day April, 2012 enter into this Agreement.

2

Commencing with the 2013-2014 academic year, and in each succeeding year during this term of this agreement, RU in the role of Home Institution, and UAlberta in the role of Host Institution will annually recruit students in Japan, and will cooperatively educate students admitted to the Dual Degree Program (hereinafter referred to as the "DUDP").

The DUDP is jointly offered by both institutions and offers academically qualified students the opportunity to complete the requirements of two Bachelor of Arts (BA) degree programs, one at RU and one at UAlberta.

The DUDP consists of three phases to be completed between the two institutions:
- In the phase one, students will commence their studies at RU where they will complete a required number of academic credits and work to increase English language proficiency skills.
- In phase two, students will transfer to UAlberta where they will continue their studies in the Bachelor of Arts General program.
- In phase three (the final phase), students will return to Japan in order to complete the requirements for the DUDP. Upon successful completion of the requirements at both universities, students will be awarded a degree from each university.

Responsibilities of the Parties:

Recruitment and Enrolment:

Student recruitment in Japan will be the responsibility of RU in cooperation with UAlberta. Students recruited to the DUDP should have, but are not limited to, academic interests in the social sciences and humanities.

To support the promotion and recruitment of students into the DUDP, RU may promote our agreement in recruitment materials. Any items that bear the UAlberta logo, wordmark, crest, or institution-specific photos, must be approved by the UAlberta prior to publication and use. In addition, RU and UAlberta should list our agreement on their respective websites, as appropriate.

The number of spaces available at each institution will be decided by mutual agreement on an annual basis.

Dual Degree Program Admission:

Students shall be selected by RU for the DUDP according to the agreed upon criteria:

Recruitment from High School and first year RU students (phase one, as noted above):

- Students will be admitted to RU according to RU standards. Selection for enrollment in the DUDP will be based upon a combination of meeting the admission requirements of both universities. To ensure students meet the UAlberta requirements, students must present completion of the high school certificate (along with a notarized translation) and the secondary school course equivalents including English and four matriculation-level subjects from History, Geography, Languages, Fine Arts, Mathematics, Biology, Chemistry, Physics, or Calculus to prove they meet UAlberta admission standards. Students with International Baccalaureate (IB) may use their IB results for admission purposes.
- Students must present a competitive academic average for admission, which may be reflected by a cumulative GPA of approximately 3.5-3.7 on the 5.0 scale (where 1 is the lowest and 5 the highest) or 70% equivalent. The RU/UAlberta high school grade translation is as follows:

  > 5.0 = 90%
  > 4.0 = 75%
  > 3.0 = 60%
  > 2.0 = 50% (lowest acceptable grade)
  > 1.0 = Not acceptable

- RU will be responsible for evaluating and admitting high school students to the DUDP and upon application to UAlberta, will ensure students provide translated copies of documents to be used for admission evaluation.

Transfer from RU to UAlberta (phase two, as noted above):

- For the second phase of the DUDP, students must meet the academic postsecondary transfer standards for UAlberta. This will be achieved through presentation of a cumulative RU GPA of "C" (equivalent to UAlberta GPA of 2.0/4.0) or higher. The RU/UAlberta postsecondary grade translation is as follows:

  > A+/A = 3.9
  > B = 3.0
  > C = 2.0 (lowest acceptable grade)
  > F = not acceptable

  Students will be offered a letter of final admission to UAlberta based upon receipt of high school documents and a copy of the available RU academic results. In cases where the interim transcript is not ready to submit, a letter of recommendation from RU to UAlberta stating that the student is suited to continue studies in DUDP at UAlberta may be acceptable for provisional admission. The final and complete transcript must be submitted when available from RU.

  English Language Proficiency (ELP) requirements must also be met, as outlined below. If there are any changes to the ELP requirements, UAlberta will notify RU as soon as the changes have been approved. Documentation demonstrating their proficiency scores, as well as all other academic transcripts, must be submitted to the UAlberta by the documentation deadline for the term that they have applied to.

Degree Program: To be admitted directly into BA Degree Program, students will be required to have an IELTS score of 6.5 or higher (with 5.0 in each testing area) or a minimum internet-based TOEFL score of 86 (with 21 in each testing area) or paper-based score of 580.

Bridging Program: Students who do not achieve the required scores for direct entry to fulltime academic degree program studies, but have an IELTS score of 5.5 or higher, or a minimum internet-based TOEFL of 70 or paper-based score of 530, will be automatically evaluated for admission to the Faculty of Arts Bridging Program (starting with ESL 140 and 145), as part of the DUDP, to pursue additional English language acquisition training as well as academically-related Bridging Program components. Students with IELTS of 5.0 or internet-based TOEFL of 65 or paper-based score of 500 may also be considered for Bridging Program and will start at ESL 135.

ESL classes will be an additional cost to students. ESL 140 and 145 courses can be counted as the Language Other than English (LOE) credits and academic courses taken while taking ESL courses may also be accredited. Upon successful completion of the Bridging Program requirements, students can automatically continue in fulltime academic studies in the BA General program in the Faculty of Arts.

Application timeline: Application must be submitted to UAlberta by mid-February for Spring term (May) admission or by mid-March for Fall term (September) admission. UAlberta shall inform the student and RU of the final admission decision within two weeks of application document submission.

While studying at UAlberta (host institution), program students shall be regarded by RU (home institution) as Study Abroad students.

Transfer from UAlberta to RU (phase three, as noted above):
Students must meet UAlberta requirements and in such conditions they are able to return to home institution with credits.

The DUDP student will have to complete their studies at UAlberta within three years. As soon as it is apparent that the student may not fulfill requirements at the end of their study at UAlberta (minimum GPA of 2.0/4.0) and complete the minimum UAlberta 78 credits in three years, the student must return to RU. In such case, the student may not be eligible to continue in the DUDP or receive UAlberta degree.
The credits earned at UAlberta will be transferred to RU accordingly to its regulations.

Course Transferability:

UAlberta transfer regulations
- UAlberta agrees to accept up to 42 transferable credits from RU towards the minimum total of 120 credits required to earn a UAlberta degree. Transferability of RU academic coursework to UAlberta will be determined according to established UAlberta criteria for assessing transfer credit. Transfer credit to UAlberta will be assessed and awarded after completion of the final year of study at RU. Official and final transcripts from RU will be sent to UAlberta, with student consent, for transfer credit evaluation upon completion of final year of study at RU.
- A minimum achievement of the RU grade equivalent of C (equivalent to UA 2.0) or "pass" must be attained on RU coursework in order to transfer the credit to the UAlberta. There will be no transfer credit for grades lower than C or "fail".
- Students with IB coursework may be qualified to receive transfer credits towards the UAlberta degree requirement.

RU transfer regulations
- RU agrees to accept up to 40 transferable credits from UAlberta towards the minimum total of 124 credits required to earn a RU degree.
- Transferability of UAlberta academic coursework to RU will be determined according to established RU criteria for assessing transfer credit.
- Official and final transcripts from UAlberta will be sent to RU, with student consent, for transfer credit evaluation upon completion of final year of study at UAlberta.

Conferring of Degrees

After a total of four years minimum in the DUDP program and upon successful completion of a minimum number of credits and requirements at each institution (78-81 UAlberta credits and 84 RU credits), students will be awarded a University of Alberta, Faculty of Arts, Bachelor of Arts degree and a Ritsumeikan University Bachelor of Arts degree. As stated, students must return to Japan to complete the final phase in order to successfully meet the requirements of the DUDP.

Responsibilities of RU, UAlberta and the Students:

- Both parties will provide student support for applications for admission. RU will also work with the UAlberta to help facilitate the transition of the DUDP students from Japan to Canada, including assistance with finding residence and completing immigration processes (visa and study permit).

- UAlberta will assist DUDP students to secure on-campus residence during their first year of study in Canada, provided that the students apply for campus residence before the deadline designated by UAlberta.

- UAlberta will provide dedicated advising and program support to DUDP students during their transition to university in Canada. This can include orientation sessions, one-on-one advising, as well as networking resources on campus to meet the needs of the student.

  UAlberta will also connect DUDP students with UAlberta International, who through their International Student Services unit will provide transitional services to new international students in the form of an orientation program and ongoing student support programming. International Student Services will also provide information about medical insurance to the students. All students attending the UAlberta for more than 12 months will be required to enroll in the Alberta Health Care Insurance Plan (AHCIP) and pay the premiums. Students attending the UAlberta for less than 12 months who are not Canadian citizens or permanent residents and who therefore do not have Alberta Health Care Insurance are required to participate in the UAlberta Health Insurance Program (UAHIP) and to pay the required premiums to the UAlberta for this health insurance.

- All fees related to applications for admission, residence, and immigration, are the responsibility of the student applicants. Students will also be responsible for all tuition and fees, and all costs associated with their period of study at the UAlberta. Tuition, fees, and related costs can be confirmed with the UAlberta on an annual basis.

Scholarships:

In recognition of the academic excellence of the program students, UAlberta agrees to provide one $5,000CAD scholarship (minimum value) to one or multiple incoming DUDP students. Selection each year will be based upon academic performance and in consultation with RU regarding academic performance at RU. While studying at UAlberta, students will also be eligible to apply for UAlberta "continuing student" scholarships after completion of the first year of studies at UAlberta.

General Terms:

Sharing of Information: UAlberta and RU will mutually exchange complete information regarding the program students prior to matriculation and as needed throughout the duration of the program, subject to the policies and rules of each institution and existing laws regarding the confidentiality of student records.

RU acknowledges that UAlberta is a public body subject to the Freedom Of Information and Protection of Privacy Act of Alberta ("FOIPP Act"), and that access to information in respect of this agreement will be provided in accordance with the FOIPP Act. The records transferred to or collected, created, maintained or stored under this agreement for the UAlberta are subject

to the access provisions of the FOIPP Act. If the UAlberta receives a request for any of the records that are in RU's custody and control, it will be RU's responsibility to provide copies of the records, at RU's expense. RU must provide such copies to the UAlberta's Information and Privacy Office within 30 calendar days from notification by the UAlberta's Information and Privacy Office.

Rules and Regulations: The institutions agree that each of their respective employees, faculty and students will be obliged to abide by each institution's regulations and rules while participating in the program, and these individuals agree to abide by the laws of each country during participation in the program. While studying at UAlberta, DUDP students will be governed by the Code of Student Behavior, as outlined in the UAlberta Academic Calendar. While studying at RU, students will be governed by RU's student conduct policies and standards.

The institutions agree that it is in their mutual benefit to resolve their differences and disputes amicably.

Notwithstanding, the institutions agree that each shall indemnify, defend, and hold harmless the other party for any loss, claim, damage, or demand, whether real or personal property damage resulting from their negligence or that of their officers, directors, agents, employees, or subcontractors. No consequential, liquidated or special damage may be claimed against the other institution. Each institution hereby certifies that is has sufficient insurance or collateral to support this indemnifications obligation.

The separate existence and organization of each institution shall continue unaltered and unamended by this agreement/program. UAlberta and RU are not and shall not be considered joint ventures, partners, agents, servants, employees, employers or fiduciaries of each other and neither shall have the power to bind or obligate each other, except as set forth in this agreement.

Governing Law

The parties hereby attorn to the exclusive jurisdiction of the courts of the Province of Alberta for the resolution of any and all disputes, controversies or claims arising out of, in connection with, or relating to this Agreement, which are brought against UAlberta as the defendant (and UAlberta may file a counterclaim in accordance with the relevant rules of court). The parties hereby attorn to the exclusive jurisdiction of the courts of the Prefecture of Kyoto for the resolution of any and all disputes, controversies or claims arising out of, in connection with, or relating to this Agreement, which are brought against RU as the defendant (and RU may file a counterclaim in accordance with the relevant rules of court).

Any revision in the agreement should be notified in advance in writing, sent by mail, postage prepaid to:

Lesley Cormack   Nobuhiro Katsurajima
Dean, Faculty of Arts   Dean, College of Letters
University of Alberta   Ritsumeikan University
6-30 Humanities Centre
Edmonton, AB T6G 2C5

Renewal, Termination and Amendment

This agreement will be effective from the date of signature and shall remain valid for an initial period of five years, unless terminated for cause at any time. Thereafter, it shall be automatically renewed each year, unless any party provides written notice to terminate, with or without cause, the agreement a minimum of twelve months prior to the expiration date. The terms of this agreement may be revised and modified through mutual discussion and written consent between the two institutions.

Administration

Each institution shall designate an individual who will serve as the liaison officer for this agreement. This person will provide the administrative support necessary for the success and the proper implementation of this agreement.

For the University of Alberta   For Ritsumeikan University

Melissa Casey   Junko Nishida
International Specialist and   Administrative Manager
Manager of Partnership Programs
Faculty of Arts, UAlberta   Ritsumeikan University
6-5 Humanities Centre   56-1 Toji-in Kita-machi
Edmonton, AB T6G 2C5   Kita-ku, Kyoto 603-8577 JAPAN

t. -(1)780-248-1450   t. (81)75-465-8114

f. (1)780-492-6325   f. (81)75-465-8112
e. melissa.casey@ualberta.ca   e. j-nisida@st.ritsumei.ac.jp

Notification of any change in liaison officers may be made by letter without amending this Agreement.

Now intending to be legally bound, the institutions have caused their duly authorized representatives to execute this Dual Undergraduate Degree Program on the date first written above.

In witness whereof, the parties hereto have offered their signatures:

RITSUMEIKAN UNIVERSITY   **UNIVERSITY OF ALBERTA**

_____   _____
Kiyofumi Kawaguchi   Carl Amrhein, PhD
President   Provost & Vice-President (Academic)
Ritsumeikan University   University of Alberta

DATE _____   DATE _____

_____   _____
Nobuhiro Katsurajima   Lesley Cormack, PhD
Dean, College of Letters   Dean of Arts
Ritsumeikan University   University of Alberta

DATE _____   DATE _____

UNIVERSITY OF
ALBERTA

Prince Takamado Japan Centre for Teaching and Research
Faculties of Arts and Education

203-B Telus Centre, University of Alberta   www.ptjc.ualberta.ca   Tel: 780.492.1569
Edmonton, Alberta, Canada T6G 2R1   ptjc@ualberta.ca   Fax: 780.492.7440

April 10, 2012

To whom it may concern,

As the director of the Prince Takamado Japan Centre for Teaching and Research at the University of Alberta, I am very pleased to see the how the Dual Degree Program with Ritsumeikan University has developed since discussions about it first began back in 2007.

Having worked closely on several projects with Ritsumeikan University, I could think of no better institution with which such a program should be developed. The Prince Takamado Japan Centre has a history of cooperation with Ritsumeikan University. Since 2008, the University of Alberta has been participating in a summer program for Canadian students to attend Ritsumeikan University and study the Japanese language. The program has continued to be a successful and popular choice and entry to the program becomes more competitive every year. Our Centre also shares a connection with Ritsumeikan University through the Prince Takamado Japan Centre – Arts Research Centre agreement at Ritsumeikan University. We are currently strategizing to see some research-level partnerships being arranged in the near future through this agreement. Ritsumeikan University is a member of the Japan Canada Academic Consortium, of which the University of Alberta is acting Canadian secretariat. This past February's annual Academic Consortium Forum was hosted and very successfully orchestrated by our partners at Ritsumeikan University.

Ritsumeikan University is regarded as one of the higher ranked universities in Western Japan, and has long had a strong record of excellence in the creation and management of international programs. It is my opinion that the University of Alberta will only benefit from being a part of Ritsumeikan University's international programs and that fostering such ties with Ritsumeikan will lead to mutual success both internationally and internally within both institutions.

Kaori Kabata, Ph.D
Director, Prince Takamado Japan Centre for Teaching and Research

UNIVERSITY OF ALBERTA

Faculty of Agricultural, Life & Environmental Sciences

2-14 Agriculture Forestry Centre
Edmonton, Alberta, Canada T6G 2P5

www.ales.ualberta.ca

Tel: 780.492.4931
Fax: 780.492.8524

April 10, 2012

Dr. William Street
Associate Dean
Faculty of Arts
University of Alberta

Dear Bill,

Thank you very much for sharing the Faculty of Arts proposed Dual Degree Program Overview. I understood from the discussions at SOS the other day that this partnership with Ritsumeikan University in Japan is a five year program with three years of study at the University of Alberta. In this model, students will spend years 2, 3 and 4 at the U of A and a minimum of 150 credits is required for students in this program to receive the two Bachelor of Arts degrees. The Faculty of Agricultural, Life & Environmental Sciences (ALES) is delighted to support this initiative by the Faculty of Arts.

All the very best,

Dr. Nat Kav
Professor & Associate Dean (Academic)

Dr. Brenda Leskiw

1-001 Centennial Centre for Interdisciplinary Science (CCIS)
Edmonton, Alberta, Canada T6G 2E1
Tel: 780.492.4758
Fax: 780.492.7033
brenda.leskiw@ualberta.ca
www.science.ualberta.ca

April 11, 2012

Dr. William Street
Associate Dean, Student Programs
Faculty of Arts

Dear Bill:

I am very pleased on behalf of the Faculty of Science to write a letter of support for the proposed Dual Degree Program you are currently taking through Governance. While the specific dual degree being proposed is written for a partnership with Ritsumeikan University, what the Faculty of Science is particularly interested in is the very simple dual degree structure that you have devised. We see this structure as being broadly applicable to other programs and could really serve as a model for the institution as a whole.   As an administrator, I appreciate that the proposed structure gets us to think about the dual degree in the same way that we approach 150 credit combined degree programs at the University of Alberta (this new structure is different only in that it involves an international partner rather than another faculty at our own institution). I think this approach helps us to focus on what is really important – that the students meet the basic requirements of the two degrees and gains valuable international experience while doing so. The Faculty of Science is already thinking about how we might use this structure in a broader context to facilitate student mobility in both directions between partner institutions.

Sincerely yours,

Brenda Leskiw
Senior Associate Dean (Academic Affairs)

UNIVERSITY OF ALBERTA
UNIVERSITY GOVERNANCE

FINAL Item No. 8

OUTLINE OF ISSUE

Agenda Title: **Graduate Student Teaching Initiative (Graduate Teaching and Learning (GTL) Program with Supersession of the University Teaching Program (UTP))**

Motion: THAT the GFC Academic Planning Committee approve, under delegated authority from General Faculties Council, the proposal submitted by the Faculty of Graduate Studies and Research (FGSR) for the establishment of the Graduate Teaching and Learning (GTL) Program intended to build upon and, in doing so, supersede the existing University Teaching Program (UTP), as set forth in Attachment 1 (as amended), to take effect upon final approval.

Item

Action Requested	☒Approval ☐Recommendation ☐Discussion/Advice ☐Information
Proposed by	Faculty of Graduate Studies and Research
Presenters	Mazi Shirvani, Dean, Faculty of Graduate Studies and Research; Renee Polziehn, Professional Development and Outreach Officer, Faculty of Graduate Studies and Research
Subject	Graduate Teaching and Learning (GTL) Program

Details

Responsibility	Provost and Vice-President (Academic)
The Purpose of the Proposal is (please be specific)	The GTL Program is designed to provide graduate students and Postdoctoral Fellows (PDF) with an opportunity to gain skill development in teaching and an understanding of student learning. The Program is open to all graduate students on campus.
The Impact of the Proposal is	The GTL Program is an optional multi-level program suited to meet the varied needs of students and departments. Graduate students play a significant role in the teaching of undergraduate students and the undergraduate student university experience. Preparing graduate students for their teaching role should be paramount to the interest of the University.
Replaces/Revises (eg, policies, resolutions)	University Teaching Program (UTP).
Timeline/Implementation Date	Level One of the Program started in September, 2011, and Level Two will be effective following final approval.
Estimated Cost	$30,000*.
Sources of Funding	Currently supported by the Faculty of Graduate Studies and Research.
Notes	N/A

Alignment/Compliance

Alignment with Guiding Documents	*Dare to Discover, Dare to Deliver*
Compliance with Legislation, Policy and/or Procedure Relevant to the Proposal (please quote legislation and include identifying section numbers)	1. ***Post-Secondary Learning Act* (*PSLA*)**: The *PSLA* gives GFC responsibility, subject to the authority of the Board of Governors, over academic affairs (Section 26(1)). 2. ***PSLA***: GFC may make recommendations to the Board of Governors on a number of matters including the budget and academic planning (Section 26(1)(o)). GFC delegates its power to recommend to the Board on the budget and on new or revised academic programs to the GFC Academic Planning Committee (APC).

3. *PSLA*: The *PSLA* gives Faculty Councils power to "provide for the admission of students to the faculty" (29(1)(c)).

4. *PSLA*: The *PSLA* gives Faculty Councils the authority to "determine the programs of study for which the faculty is established" (Section 29(1)(a)); to "provide for the admission of students to the faculty" (Section 29(1)(c)); and to "determine the conditions under which a student must withdraw from or may continue the student's program of studies in a faculty" (Section 29(1)(d)).

5. **GFC Committee on the Learning Environment (CLE) Terms of Reference/3. Mandate of the Committee**: "The Committee on the Learning Environment is a standing committee of the General Faculties Council that promotes an optimal learning environment in alignment with guiding documents of the University of Alberta.

The Committee on the Learning Environment is responsible for making recommendations concerning policy matters and action matters with respect to the following:
[…]
b) To review and, as necessary, recommend to the GFC Academic Planning Committee and GFC Executive Committee as relates to the development and implementation of policies on teaching, learning, teaching evaluation, and recognition for teaching that promote the University Academic Plan.
c) To develop policies that promote ongoing assessment of teaching and learning through all Faculties and units.
d) To nurture the development of innovative and creative teaching practices.
e) To encourage the sharing and discussion of evidence about effective teaching and learning.
f) To promote critical reflection on the impact of broad societal changes in teaching and learning.
g) To promote projects with relevant internal and external bodies that offer unique teaching and learning opportunities that would benefit the university community.
h) To consider any matter deemed by the GFC Committee on the Learning Environment to be within the purview of its general responsibility.
Notwithstanding anything to the contrary in the terms of reference above, the General Faculties Council has delegated to the Committee on the Learning Environment the following powers and authority:

To recommend to the GFC Academic Planning Committee and to the GFC Executive Committee broad policy directions for excellence in teaching and learning."

6. **GFC APC's Terms of Reference (Mandate):** GFC delegated the following to GFC APC, the Provost and Vice-President (Academic) and the Dean of FGSR:

"Existing Undergraduate and Graduate Programs:
- Extension and/or Substantive Revision of Existing Programs

	- Revisions to or Extension of Existing Degree Designations All proposals for major changes to existing undergraduate and graduate programs (eg, new degree designation, new curriculum) shall be submitted to the Provost and Vice-President (Academic). […] The Provost and Vice-President (Academic), after consultation with relevant Offices, committees or advisors[,] will place the proposal before APC. APC has the final authority to approve such proposals unless, in the opinion of the Provost and Vice-President (Academic), the proposal should be forwarded to GFC with an attendant recommendation from APC. […]" (3.13.)

Routing (Include meeting dates)

Consultative Route (parties who have seen the proposal and in what capacity)	1. Faculty of Graduate Studies and Research Graduate Student Professional Development Teaching Committee; 2. Colleen Skidmore, Vice-Provost and Associate Vice-President (Academic); 3. Faculty of Graduate Studies and Research Council (December 14, 2011 – introduced Motion for endorsement of program; and January 18, 2012 – introduced Motion to approach the University Registrar regarding notation on the student's transcript); 4. Heather Kanuka, Director, Centre for Teaching and Learning (December 20, 2011 – for discussion and to obtain feedback) ; 5. GFC Committee on the Learning Environment (February 1, 2012 – for discussion); 6. University Registrar supports the notation on transcript pending approval of the Graduate Teaching and Learning (GTL) Program by the appropriate University legislative entities.
Approval Route (Governance) (including meeting dates)	Faculty of Graduate Studies and Research Council (February 29, 2012) – for recommendation; GFC Academic Planning Committee (May 9, 2012) – for final approval
Final Approver	GFC Academic Planning Committee

Attachments (each to be numbered 1 - <>):

1. Attachment 1 (pages 1 – 26): Report to Support the Graduate Teaching and Learning (GTL) Program

Prepared by: Renee Polziehn, Faculty of Graduate Studies and Research (FGSR) Professional Development and Outreach Officer, renee.polziehn@ualberta.ca

Report to support
THE GRADUATE TEACHING AND LEARNING PROGRAM

Beginning 2011

Prepared by R. Polziehn on behalf of the Graduate Student Professional Development Teaching Committee (Presented to FGSR Council January 18, 2012, Presented to Academic Planning Committee May 9, 2012)

For: Colleen Skidmore, Vice Provost and Associate VP (Academic)
           Mazi Shirvani, Vice Provost and Dean (FGSR)
           Graduate Student Professional Development Teaching Committee

Revised May 10, 2012

TABLE OF CONTENTS

EXECUTIVE SUMMARY

The first formal University of Alberta University Teaching (UT) Program for graduate students began in May 1999 and concluded in December 2010. FGSR held a series of Teaching Sessions in September 2010 to assist students with completing requirements for the UT Program and to gain a sense of the level of interest in a new university training program in teaching. Sessions were advertised to students through the FGSR Professional Development list serve.

There was a resounding interest in teaching training for graduate students with 1,794 seats filled from 58 departments and faculties at the first FGSR Professional Development in Teaching Sessions September 2010. The Graduate Student Professional Development Teaching Committee was created to discuss the importance of teaching to the University community, and the creation of a new Graduate Teaching and Learning (GTL) program has been an outcome of the committee's efforts.

The new GTL Program was founded on common practices observed in teaching programs across the country and recent literature, as well as in consultation with the large committee on common practices on campus and what can realistically be supported. In addition, the GTL program has taken into consideration recommendations to improve and enhance the past UTP Program (1999-2005 Review of the UTP program, Appendix).

The resulting 3 tier program for graduate students led to Level One being informally launched in September 2011 and Level Two informally launched in January 2012. Currently 116 students have met the criteria to receive a letter of completion for Level One and more than 1200 people are registered in the program. There are a few students who completed the Level Two GTL requirements in time to coincide with having their degrees conferred at the June 2012 convocation. The Graduate Student Professional Development Teaching Committee would like to formally launch the program for September 2012.

Graduate students who participate in the GTL Program will be scrutinized at each component of the program to ensure they meet the standard required of a milestone on their transcript. The action to create this milestone requires approval from the General Faculties Council.

1.0   Introduction

The first University Teaching (UT) Program for graduate students began in May 1999 and concluded in December 2010. FGSR held a series of Teaching Sessions in September 2010 to assist students with completing requirements for the UT Program and to gain a sense of the level of interest in a new University training program in teaching.

In September 2010, students filled 1,794 seats from 58 departments and faculties, and more than 10% RSVP's turned down due to lack of space. More than 99% of students would recommend the sessions to their peers. In September 2011, attendees from 56 departments and faculties filled 2,411 seats and one session was postponed that had 380 RSVP's. Sessions were also offered in January 2011.

A Graduate Student Professional Development Teaching Committee[1] was struck to discuss whether graduate teaching had value to the University and whether training opportunities should be available to graduate students (and postdocs). While 1,697.4 Teaching Faculty comprised the University academic staff in 2009-2010[2], 465 Full Time equivalent Graduate Teaching Assistants and 582.1 Temparary Teaching (sessionals/graduate students as primary instructors) comprised the remaining teaching staff. Therefore, graduate students have the opportunity to significantly impact undergraduate learning at the UofA.

As with the past UT Program, the GTL Program is designed to provide graduate students (and postdocs) with opportunities to develop an ethical, practical, and philosophical basis for post secondary teaching and professional careers. The GTL Program was built collaboratively with departments and faculties across campus and will utilize teaching resources from departments, Centre for Teaching and Learning, and groups such as the "Writing Across the Curriculum". The GTL Program is designed to meet the varied needs and goals of graduate students on campus, as well as to build on and recognize the teaching development within departments and teaching enrichment opportunities on campus.

The GTL Program was founded on common practices found in teaching programs across the country and recent literature, as well as consultation with the large committee on common practices on campus and what can realistically be supported. In addition, the GTL program has taken into consideration recommendations to improve and enhance the past UTP Program[3]. Graduate students who participate in the GTL Program will be scrutinized at each component of the program to ensure they meet the standard required of a milestone on their transcript.

2. Rationale for the Program

There are many reasons for a University to invest in providing training for graduate students in the area of teaching. The importance of training has even been extended in Britain and Australia to the notion that faculty should not be hired unless they have a post graduate certificate in higher education[4]. Lack of formal teacher training

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[1] Appendix A

[2] 2009-2010, University Data Book

[3] 1999-2005, Review of the UTP program, Appendix B

[4] Crisp, 2010. Britain and Australia appear to be going this route, while North America has placed its focus on professional development of Graduate Teaching Assistants (GTAs) which may complement the

and opportunities for teaching practice are significant factors in the attrition rates amongst junior faculty[5]. Disciplines are now examining how Graduate Teaching training is affecting their undergraduate experience[6].

A training program, whose objective is to help graduate students become effective university teachers, would be one means of signaling that teaching matters[7]. Teacher training must introduce graduate students to the idea that teaching and learning are a subject worth thinking and even reading and writing about[8].

The lack of formal teacher training faced by graduate students whenever they deal with a teaching situation is widely recognized and constitutes one of their most common criticisms of their own education[9]. There are many challenges of developing teacher training programs for graduate students. However, not providing any training can create a serious shortfall in the learning of undergraduate students as well as professional development for the graduate students. Some of the most common barriers to setting up a formal teaching program include cost to department, lack of available staff, loss of staff member associated with training, or lack of students to run a program[10]. Therefore the opportunity to centralize a teaching program can benefit small departments as well as larger departments who could use centralized program to compliment their in-house training.

Many of our current graduate students are recipients of the traditional lecture format – information dumping instruction, and there is no doubt that active learning strategies offer a superior learning experience. The movement to incorporate active learning in teaching is one example of a change in pedagogy that can impact how graduate students instruct their students[11]. Including technology such as blogs and wikis is another area of change in instruction, and while we cannot predict all the ways that teaching may change over the years, we need to make resources and teaching techniques available to teaching assistants. A large number of studies show training does improve teaching regardless of how this is measured (teaching evaluations, student grades, or peer observations) [12].

Five program attributes that are associated with high quality programs have been identified in the literature: diverse and engaged participants, participatory cultures, interactive teaching and learning, connected program requirements, and adequate resources[13]. The GTL Program is self-directed and has attracted graduate students from across campus, including departments that have little to no teaching opportunities for them. The teaching and learning sessions and workshops are delivered by University of Alberta teaching scholars who model excellence in teaching while they explore the fundamentals of effective teaching. Common perception may be that university professors do not spend much time thinking about the pedagogy of

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tenure process where new academics with a basis in teaching can focus more intensively on research in their early pre-tenure years.

[5] LeMay, 2009
[6] Ishiyama, Miles, and Balarezo, 2009
[7] Woollard, 1999
[8] Houston, 2002
[9] de-Macedo et al., 1999
[10] Nilson, 1993
[11] Anderson, 2011
[12] Nilson, 1993
[13] Haworth and Conrad, 1995

teaching (Weimer, 1990)[14], but in general graduate students respond best to faculty drawn from their own disciplines[15] who are familiar with their challenges. While individual disciplines do not differ much in teaching beliefs, methods, and formats, the GTL program also allows disciplinary groups the opportunity to delve into teaching specific needs which Nilson (1993) found could vary (i.e. seminars versus lab demonstrations) for different groups. The GTL program also aims to provide graduate teaching assistants exposure to various aspects of teaching, a recommendation for creating teaching programs by Harkness and Rosenberger[16] and as illustrated by the chapters of Clement[17].

Institutions develop their teaching programs through different processes, but generally require input and collaboration from faculty, graduate students, administrative offices, and a central faculty development centre[18]. The University of Washington TA initiated their training program when the Provost mandated all departments who employ TA's to develop some level of training. The University of Arizona was created bottom up by graduate students who felt a "sense of desperation and desire for professional competence"[19]. The University of Wisconsin-Madison developed their TA training program in three phases, growing the delivery of sessions and TA involvement with each phase[20]. Trained TA's have also been instrumental in coaching new TA's in their teaching roles in programs found at Victoria to Ryerson[21] in Canada and Florida State in the USA [22].

A university's Faculty or School of Graduate Studies can be found to hold many roles in TA training program including setting evaluation standards for the TA training program and providing confirmation that a TA has completed training by way of a certificate or a notation on a transcript (Border, 1993). While evaluation of TAs teaching is often the responsibility of academic departments (de Berly, 2002), De Berly suggests that schools of graduate studies should take more responsibility for "assessing the quality of undergraduate teaching provided by TAs" and "should create better measures to monitor the quality of the TA experience" (p. 15).

A review of graduate programs at Canadian universities suggests the mass of graduate students are served by TA Orientation/ TA training days. This model requires no work from the TA beyond attending the session, and no evaluation of their teaching[23]. More intensive programs range from programs that lead to milestones recorded on transcripts (e.g. Dalhousie, Queens, Regina, Waterloo) to full on Certificate programs that require for credit courses. A survey of Waterloo Teaching Assistants conducted by their GSA confirmed a need for greater pedagogy support (beyond their orientation to teaching). Waterloo also realized that their Certificate in University Teaching (CUT) program cannot meet the general training needs of their TA's as it is offered to doctoral students focused on academic careers. Therefore at the UofA we have planned for a multi tier program that can

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[14] Weimer, 1990

[15] Houston, 2002

[16] Harkness and Rosenberger, 2005

[17] Clement, 2010

[18] Wulff, Abbott and Nyquist, 1993. p. 98

[19] Weatherly, 1993. p. 161

[20] Craig and Ostergren, 1993

[21] Appendix C.

[22] Gappa, 1993.

[23] Border 1993. Pg 113

accommodate the needs for graduate students based on their availability and investment into teaching.

Components of training programs can be found in the literature and in practice at fellow institutions. Meyers stressed the importance of writing, journaling, and creating a portfolio as a means of communicating teaching experiences[24]. Ethics was stressed as integral to the training of TAs in their new professional role[25]. Schönwetter and Taylor identified workshops, teaching requirements, and opportunities to interact with other TA's as a requirement of a successful program[26]. Maslach, Silver, Pole and Ozer identified the importance of having teaching experiences which may be achieved through microteaching, guest lecturing, and receiving feedback[27]. Self evaluation, reflection, and feedback from mentors, peers, and students can all significantly contribute to a TA learning experience of teaching[28],[29],[30],[31],[32]. Increasing the responsibility of TA's to their students is a model used well by the UofA Department of Modern Languages and Cultural Studies, however they have not gone so far to have their graduate students co-teach with an experienced faculty member as suggested by McNaron[33].

Common elements to the success and sustainability of a Graduate Teaching program were found to include (1) "support of departmental leadership," (2) "a positive departmental attitude toward teaching," (3) "adequate financial resources, especially during transitional periods," (4) "growth at a modest pace," (5) "full institutionalization," (6) "a willingness and ability to respond to external changes," and (7) "a history of success"[34],[35].

3. Program Success

In Canada in 1999, only 25% of GTA were required to take part in any teacher training, yet more than 75% GTA's sought out training despite the argument that the sessions are not for credit and their time may be better spent on preparing a publication that can influence their ability to be hired[36]. A review of University Teaching websites across Canada suggests that little has changed with respect of making teaching training a requirement for graduate students, and yet they continue to strongly attend teaching sessions. Having recognition for a program signifies to students teaching is also important (Houston 2002). Students will continue to participate in TA training based on intrinsic motivations (e.g. a desire to improve

[24] Meyers, 2001

[25] Diamond, 2002

[26] Schönwetter and Taylor, 2003. p. 108

[27] Maslach, Silver, Pole and Ozer. 2001

[28] Border, 1993 Pg 113.

[29] Harkness and Rosenburger, 2005

[30] Jerich, 1993

[31] Burnham, 2011

[32] Donnelly, 2007

[33] McNaron, 2002

[34] Thornburg, Wood and Davis, 2000. pg. 78

[35] Worsfold, 2002

[36] Woolard, 1999

their teaching), formal motivations (e.g. a notation on transcript), and informal motivations (e.g. increased marketability in job search)[37].

Between 1999 and 2009, 168 students completed the UT Program. When the program was modified in fall 2009, 96 additional students completed the program before it was terminated. Since September 2011, 66 students have completed Level One with the potential to have 200 more complete by January 2012 when FGSR will offer another series of teaching sessions. Students can self-direct their program and therefore have greater control of their personal success in the program.

Based on 1765 September 2011 survey responses, over 99 % of the attendees indicated they would recommend the sessions, which included session responses from 938 Master's students, 698 Doctoral students, 86 Postdoctoral Fellows, and 43 faculty and other. From the Doctoral and Master's students who attended the sessions, 15 % and 4 % respectively were primary instructors and 60 % and 74 % were teaching assistants. More than 1 in 4 people attending were unsure if they would have a teaching assignment or knew they would not be teaching.

4. Purpose and Objectives of the Program

The purpose of this program is to develop, support, and enhance teaching skills for graduate students across the university, through, for example, teaching skills sessions and workshops, mentorship, and on-the-job practical training, including shadowing, mentored team-teaching, engaged micro-teaching sessions, and mentored lectureships. Graduate students will have opportunities to discuss teaching practices and concepts with their peers. Through feedback from students, peers, and mentors; and observations of different teaching styles, graduate students will reflect on how student learning is impacted. Graduate students are expected to transition from teacher focused training to student focused learning. In a more general context, graduate students will gain a broader knowledge of the expectations of an academic position, and be more prepared for roles they may hold beyond the academic environment. Students could complete Level One within the fall term, and students could complete Levels One and Two within one year, depending on their commitment to the program and timing of teaching opportunities. Students have until completion of their degree to complete Level Two.

4.1 Learning Objectives for Level One:
- Graduate students will strengthen and broaden their comprehension of ten teaching concepts that enhance and impact student over the 15 hours of completing Level One.
- Graduate students will be more confident with the role and responsibilities of a Teaching Assistant or Primary Instructor.
- Graduate students will be more prepared to engage in a higher level of pedagogical discussion.

How will this be achieved:
- Graduate students will be exposed to general concepts essential to teaching as an instructor and learning for the students, including but not limited to: setting objectives, assessment, plagiarism, Code of Student Behaviour, leading discussions, preparing and delivering a lecture, using technology, dealing with difficult students, preparing your voice, teaching with English as

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[37] Schönwetter and Taylor, 2003

a second language. Fifteen hours would be exposure to a minimum of 10 topics related to teaching.

- Students will hear new vocabulary as it relates to teaching, and this is one of the building blocks for engaging in discussion about pedagogy.
- Sessions will be instructed by people who are recognized for their teaching skills, expertise, and/or years of experience in a teaching environment.
- Graduate students must attend a minimum of 15 hours of pedagogy sessions offered by FGSR to complete Level One and this will be verified by FGSR.
- Students will be attending sessions with their peers and have opportunities to learn about teaching from a peer perspective. The peer perspective, as well as advice from experienced teachers, gives students confidence to approach their classes and knowledge on how to deal with situations.
- A survey of students attending sessions will be given to assess quality of presenter, relevance and quality of material presented, and whether the session has added to their confidence in teaching. (Currently more than 99% of participants recommend the sessions, and more than 99 % of participants found the information new or somewhat new to them).

4.2 Learning Objectives for Level Two:
- Graduate students are more prepared to excel in their roles as Teaching Assistants and Primary Instructors.
- Graduate students will have experienced a variety of teaching duties.
- Graduate students can demonstrate teaching competency and confidence to post secondary and non-academic employers.
- Graduate students are more primed to take on an academic position and teaching responsibilities.
- Graduate students have created a foundation to build a life-long interest in teaching and learning.
- Graduate students will develop skills and tendencies of critical reflection on their teaching with the intention of increasing their effectiveness to facilitate students' learning at a post-secondary education level.

How will this be achieved:
- Graduate students will complete Level One and an additional 10 hours of pedagogical sessions, as verified by FGSR and/or GTL Departmental/Faculty Coordinator/Mentor. This will allow students to focus on specific interests or areas identified by their departments.
- Graduate students will write 5 reflective commentaries about how pedagogical sessions they attended have supported, changed, or influenced how they think student learning will be impacted. This will add to their critical reflection as well as preparedness for teaching.
- Graduate students will twice provide written and in-person teaching evaluations to a peer after viewing their in-class teaching. This will require students to reflect on what is effective teaching and learning.
- Graduate students will receive two written and in-person teaching evaluation from peer(s) after their in-class teaching is observed. These reviews may be submitted for employment purposes and provides feedback on student teaching skills.
- Graduate students will receive informal or formal feedback about their teaching from students to inform them of their teaching practice.
- Graduate students will receive feedback on their teaching from a teaching mentor at the start and again near completion of their teaching program

- Graduate students will create a teaching dossier to document their reflection and engagement in learning activities. Teaching philosophies and dossiers are common requirements for an academic posting.
- Graduate students will perform equivalent to 72 hours of teaching instruction which will expose students to a variety of teaching tasks. They will get feedback on their performance from peers, mentor, and students.
- Graduate students will perform an exit survey to evaluate the outcomes of the program and the mentoring experience.

5.0 Administration of the Program

Administratively, the GTL Program is the result of collaboration between the Faculty of Graduate Studies and Research (FGSR), various University departments/faculties, and interested graduate students. The Faculty of Graduate Studies and Research administers the graduate student registrations, the GTL Program web pages and coordinates the Advisory Committee. A GTL Program Advisory Committee, chaired by an appointee of FGSR is in charge of the program and meets at least twice per year. Membership of this Advisory Committee includes at least two GTL coordinators, a graduate student representative and a member of the University committed to teaching. University departments can appoint GTL Program Coordinators and provide teaching mentors for the graduate students. FGSR administers the teaching aspects of Level One, Peer Review for Level Two, and the Level Two instruction for graduate students without Teaching Assignments. Departments verify graduate student teaching record book entries following attendance at the pedagogical sessions, feedback on teaching and teaching dossiers. All GTL Coordinators will be welcome to attend an annual meeting with updates about the program.

6.0 Outline of the Graduate Teaching and Learning Program

The Graduate Teaching and Learning (GTL) Program beginning in fall 2011 is open to all graduate students and postdoctoral fellows. The multi-tier program is a collaboration of the Faculty of Graduate Studies and Research, departments and faculties, and the Office of the Vice-Provost (Academic Programs). See Graduate Teaching and Learning Program Overview Appendix C for program details. The GTL Program Levels One and Two provide increasing investment into teaching and learning, and provide an excellent entry point into the Post-baccalaureate Certificate in Teaching and Learning in Higher Education (labeled here as Level 3 to illustrate its position in student investment into pedagogical training).

6.1 Level One
Level One is intended to provide an overview of skills and concepts required for teaching at a post-secondary level. Students cannot receive credit more than once for a session, and only FGSR Teaching Development sessions apply. Students who have documented sessions from the previous University Teaching Program may apply these for credit toward the new GTL program.

Acknowledgement: All students enrolled in 15 or more hours of FGSR Teaching Development sessions will receive a letter indicating they have met Level One pedagogical requirements.

6.2 Level Two
Students may begin Level Two before completing the requirements of Level One, however completion of Level One must be demonstrated before credit will be given

for Level Two.   Graduate students completing Level Two will gain perspective of student learning and depth to their teaching experiences.

Students will be required to complete 4 program components: an additional 10 hours of pedagogy sessions (offered through the Centre for Teaching and Learning, the student's department/faculty, FGSR, or other recognized organization) and 5 reflections; practical teaching experience equivalent to one half time TA (72 Hours), feedback and observations to/from peers; feedback from teaching mentor and students, and completion of a teaching dossier.   Graduate students without formal teaching assistantships have ability to combine teaching opportunities and to participate in a Level Two Course. Departments and faculties can make additional requirements. Students are on the honour system for recording their additional 10 hours of pedagogy attendance, and the requirement to produce 5 reflections will require students to be engaged learners. Students will be required to verify their teaching practicum hours with their GLT Program Coordinator/Mentor which will be particularly important for students who are consolidating hours from various experiences.

> **Acknowledgement:** Successful completion of the GTL Program will result in the following milestone notation on the transcript: Graduate Teaching and Learning Program Completed. Student will also receive a letter.

6.3 Level Three
The Post-baccalaureate Certificate in Teaching and Learning in Higher Education (approved April 2009 by APC) is equivalent to 9 credits and provides students with an opportunity to explore the deeper relationships of pedagogy and student learning. Information for the Certificate can be found in the Calendar under sections 96.4 (Extension) and 205.76 (Graduate Studies and Research).

> **Acknowledgement:** Certificate would be provided by Faculty of Extension.

7. **Quality Control**

Teaching Mentors
- must have 5 years of post-secondary teaching experience (exceptions possible, such as fewer years teaching experience if mentor formally recognized for his/her quality of teaching i.e. Teaching award recipient)
- can be full-time academic or non-academic staff employed by the University (exceptions possible, such as Professor Emeritus)
- are responsible for providing a formal review of their mentees teaching and providing a written copy for the student's teaching dossier
- are responsible for guiding their student through teaching issues and concerns
- are responsible for discussing and providing feedback on the material prepared by the students, are responsible for reading their students teaching dossier, evaluating its quality of writing, and insuring all supporting documents are present
- are responsible for informing their student if they are unable to meet their commitments
- will receive feed-back from exit survey and can solicit feedback anytime from their mentee

- may be the student's academic supervisor although we encourage students to broaden their network within the academic teaching community

Department/Faculty GTL Coordinators
- will assist students with finding quality teaching mentors within their department
- will confirm the teaching hours accumulated as a teaching assistantship or equivalent, or accumulation of teaching experiences and Level Two course
- will assist with identifying GTL coordinators for the program
- mentors can fill this role should departments chose not to create a GTL Coordinator

FGSR
- will corroborate hours invested in teaching sessions offered by FGSR
- will continue to assess quality of presentations offered
- will provide administrative support to offer sessions and notation on transcript
- will notify students of their progress through the program
- will develop and maintain supporting documents required for the program

GTL Committee
- will collect qualitative assessment through participation and exit survey
- will review the quality and outcomes of the program through random sampling of student dossiers and feedback from participants
- will provide avenue for students and departments to review recommendations

Documents prepared

1. GTL Record Book
2. FGSR Webpage: www.gradstudies.ualberta.ca/gtl
3. GTL Program Overview
4. Transcript Sample
5. Peer Teaching Observation Form
6. Mentor Evaluation Form
7. Guide for Teaching Mentors in the Graduate Teaching and Learning (GTL) Program
8. Consent Form for Teaching Evaluation
9. Template for Feedback from Peer and Mentor Teaching Observations
10. Approved Questions for Student Feedback
11. Letter of Completion Level One
12. Letter of Completion Level Two
13. Exit Survey

Appendix A. Graduate Student Professional Development Teaching Committee

Billy Strean (Phys Ed & Rec)
Cecily Devereux (English & Film Stud)
Christina Rinaldi (Assoc Dean, Education)
Claudia Kost (MLCS)
Glen Loppnow (Chemistry)
Greg Dechaine (Chem Mat Eng)
Janice Kapty (Graduate Student)
Judy Gnarpe (MMI),
Lois Harder replacing Heather Zwicker (Assoc Dean, Arts)
Maggie Haag (Bio Sci),
Marg Iveson (Secondary Educ),
Monika Keelan (Lab Med Path)
Renee Polziehn (FGSR)
Stanislave Karapetrovic (Mech Eng)
Stephen Strelkov replacing Nat Kav (AFNS)
Susan Smith (History & Classics)
Thomas Hillen (Math & Stat)
Joanne Volden (Assoc Dean, Rehab Med)
Fred Wu (Graduate Student)

Appendix B. 1999-2005 An Internal Review of the UNIVERSITY TEACHING PROGRAM (M. Wilson, M. Haughey, and J. Kelland)

Information and opinions about the UT Program, its strengths and suggestions for improvement, were sought from graduate students registered in the Program and those who had recently completed it, mentors of the UT Program registrants, UT Program Coordinators, department chairs, and members of the UT Program Committee. Survey questionnaires, structured interviews, and focused discussions were used to collect the information and opinions.

Recommendation 1

That the UT Program Advisory Council develop and initiate a promotional agenda to attract and inform graduate students, teaching mentors, UT Program Coordinators and departments to the University Teaching (UT) Program.

This promotional agenda should consider central and de-centralized dissemination of information and should be targeted at all levels from graduate students to senior administrators. The goal of this promotional agenda should be to have all departments who hire graduate students to assist with undergraduate teaching as active participants with the program. Promotional materials should include an information binder for all UT Program Coordinators that is updated on a yearly basis.

Recommendation 2

That the UT Program Advisory Council develop and implement a communication strategy to connect UT Program Coordinators and UT Program teaching mentors and departments.

This review uncovered a gap within participating departments around succession. Some of the Program Coordinators who were interviewed did not understand the UT Program and had never received any mentoring or training for their role. If the University Teaching Program is to be sustainable, this lack of 'training for the role' must be addressed. Coordinators need to receive regular reports from the UT Program Advisory Council and hold bi-yearly face-to-face meetings. Similarly the UT Program teaching mentors need to receive some professional development that addresses their mentoring role and responsibilities.

Recommendation 3

That UTS develop and deliver a series of workshops on *Teaching Basics* specifically for participants within the UT Program and further that these workshops be delivered by a dedicated University of Alberta teaching scholar/faculty associate/graduate student who is funded by FGSR.

The issues around content, scheduling, and a community of learners could be addressed if such a series was developed. Many of the suggested content changes that became known during this review are in fact being offered through UTS but UT Program participants are not aware of these offerings. Such a series would need to be connected to the promotional agenda being developed.

Recommendation 4

That UTS develop and deliver on-line session(s) to improve access for busy graduate students.

Some of the issues around the UT Program related to accessibility to the face-to-face sessions. These would be short programs (8 hours maximum) with a built in

evaluation component. UTS would act as the 'course coordinator' for these courses and monitor any on line discussions that occur.

Recommendation 5
That UT Program participants be allowed opportunities within UTS programming to practice their teaching skills.
These opportunities might take the form of delivering workshops within the *Teaching Basics* workshops (see recommendation #3) and would be delivered to their peers. Such workshops could be used within the microteaching component of the UT Program. During the interviews with UT Program coordinators it was evident that now all departments have opportunities for their graduate students to teach. Such an allowance within UTS programming would allow for practice to a live audience and would encourage in-depth study of a particular aspect of teaching and learning by the graduate student.

Recommendation 6
That the UT Program Advisory Council consider providing formal recognition to students who partially fulfill the requirements of UT Program.
The reality is that some students are unable to fulfill the entire program, despite their good intentions and the current flexibility of the UT Program. To date, UTS has been writing letters for these graduate students. This practice needs to be reviewed.

Appendix C. Graduate Teaching and Learning Program Overview

Welcome to the Graduate Teaching and Learning (GTL) program, an initiative of the Faculty of Graduate Studies and Research (FGSR) and participating departments of the University of Alberta. We recognize the importance of developing the teaching and learning skills of graduate students who may serve as the primary points of teaching contact for many undergraduate students, as well as assisting with the professional development of graduate students who intend to pursue academic careers. Also recognizing the limitations of graduate student time, we have established a three-tier program to suit the different demands of graduate students.

Level 1:

All graduate students who accumulate 15 hours of Graduate Teaching Development sessions offered through during their graduate program will automatically be issued a letter indicating completion of Level One of the GTL program. FGSR will accept hours accumulated through the obsolete University Teaching Program (UTP) towards this program, but otherwise only hours accumulated through the FGSR Graduate Teaching Development sessions will be accepted towards this credit.

Level 2:

The GTL Program is open to all graduate students. Departments may choose to participate and designate a Graduate Teaching and Learning Program Coordinator. Departments may choose to append additional activities or requirements to the program. Graduate students in these departments will need signatures from their GTL Program Coordinator and a Teaching Mentor to complete the program. GTL Program Coordinators may also serve as Teaching Mentors. Graduate students in departments who chose not to participate, may have their Teaching Mentor take on both of these roles. Graduate students may begin to participate in Level 2 before completing Level 1.

Participants who receive poor teaching evaluations or make a poor attempt at their teaching dossier can be asked to repeat various sections of the program by their Teaching Mentor, GTL Program Coordinator or FGSR. The University's Code of Student Behaviour continues to apply to all graduate student activities in the teaching program, including section 30.3.6(4) which makes clear that no student shall misrepresent pertinent facts to any member of the University community for the purpose of obtaining academic or other advantage.

A. Pedagogy:
Students must complete 25 hours of pedagogical training, which includes completing 15 hours as part of the Level 1 requirement through FGSR Graduate Teaching Development sessions and an additional 10 hours of sessions focused on teaching from any available resource on or off campus at the discretion of their department (e.g. Center for Teaching and Learning (CTL), department, FGSR, Society for Teaching and Learning in Higher Education conference). Students are required to write 5 short reflections (250-750 words each) about what they learned from sessions accumulated during Level Two and how this learning has or can be applied to their teaching. The reflections are to be filed with their teaching dossier. Students are on the honor system when recording their hours of sessions attended.

B. Practicum
The expectation of this component is that the graduate student will have the opportunity to be responsible to students in an actual course setting and will participate in more than **3 teaching** experiences, for example class preparation (how you will structure the class); preparing teaching materials (lecture/lab/seminar materials); speaking to students as a class; speaking/tutoring students one-on-one; preparing questions for quiz/exam/assignment; grading; feedback and evaluation; assigning final grades. Students may take more than one term to meet their teaching requirement.

Students will need to have their teaching practicum hours confirmed by the GTL coordinator or teaching mentor. The acceptance of offer of employment as a TA/Primary Instructor/Sessional or an email from the course instructor verifying the students role as a TA are examples of documents that can verify practicum hours. For students who are using various teaching experiences to compile their practicum hours, a signature from the course instructor in which the activities are performed is required.

- For Students who have a Teaching Assistantship or Primary Instructor role
  - The practicum requirement is at least one part-time term of TA work or 72 hours (for example 12 week term x 6 hours) equivalent teaching and teaching duties at a postsecondary level.

- For Students who do **not** have a teaching assignment
  - You have the opportunity to meet the requirement of the practicum through:
    1) Compiling various teaching opportunities to fulfill the teaching requirement
       - Example 1: attend the class, prepare a full class lecture, review it with the primary instructor, deliver the lecture, prepare a question for an assignment, and discuss the exam question with the course instructor could be equivalent to 13 hours for one 50 minute lecture. This in combination with a demonstrator or marking position would fulfill the teaching requirement. An email or signature
       - Example 2: A combination of assisting with weekly help sessions or tutorials in one term, and marking in a second term should also offer enough hours and experiences to meet the requirement of 72 hours

    2) Complete Level 2 Graduate Teaching Professional Development course (equivalent to 50 hours) and do a minimum of two guest lectures for a post-secondary institution.

C. Mentorship
Eliciting productive feedback of one's teaching is an excellent tool to learn how to improve upon your teaching style. Learning to give feedback is also a critical tool in understanding the elements of teaching and learning. Ideally your mentor and peers would observe you in your teaching environment, however we expect there may be exceptions for this to occur. If you are anticipating that you will need to videotape your session, you must inform your students to the purpose of the taping and ensure that they will not be included on the tape without their permission. Please ensure

that the people you will be evaluating has signed a <u>Consent Form</u>, so that you can submit your teaching observations to your teaching mentor to demonstrate you have completed this component of the program.

1. Mentor Evaluation
   - Your Teaching Mentor, GTL Program Coordinator, or equivalent should have an opportunity to observe your teaching early in your journey, and then again closer to the time of the program completion. An evaluation of your teaching must be included in your teaching portfolio. A <u>Guide for Teaching Mentors in the Graduate Teaching and Learning Program</u> are also available as well as a <u>Mentor Evaluation Form</u> and <u>Template for Feedback from Peer and Mentor Teaching Observations</u>.

2. Peer Evaluation

   For Graduate Students **with** Teaching Assistantships or Primary Instructor roles:
   - Graduate students will need to register in a Peer to Peer Evaluation and Reflection training session offered by FGSR. This cohort will be used to fulfill the Peer evaluation requirement of the program and peers will be assigned into groups at this time. Peer assessments need to be completed within a single term.
   - Participants will be required to receive feedback from at least two peers also participating in the program. This feedback will be added to the teaching portfolio and should be reviewed by the Teaching Mentor.
   - Participants will be required complete the <u>Peer Teaching Observation Form</u> to provide feedback to at least two peers also participating in the program. Participants will gain skill in providing constructive feedback, will observe other teaching styles, and will critically think about how students learn. The peer completed forms shall be discussed with the teaching mentor but not included with the teaching dossier.

   For Graduate Students **without** a Teaching Assignment:
   - Graduate students will need to register in a Peer to Peer Evaluation and Reflection training session offered by FGSR. A list of participating peers will be made available to the group and peer assessments need to be completed within a year.
   - Participants will be required to receive feedback from at least one peer who is also participating in the program and also complete the <u>Peer Teaching Observation Form</u> to provide feedback to another peer who is also participating in the program. This feedback will be added to the teaching portfolio and should be reviewed by the Teaching Mentor. If participant is unable to do a second evaluation, they may opt to evaluate an academic.
   - Participants opting to do a second evaluation of an academic must do so with another peer participating in the program. Consent from the academic must be obtained prior to the evaluation. Together with a peer, the participant must discuss their classroom observations and provide a written reflection to be given/discussed with the academic. The <u>Peer Teaching Observation Form</u> shall be discussed with the teaching mentor but not included with the teaching dossier.

3. Student Evaluation
- You will be recommended to solicit feedback from students that you teach. This may be through an informal survey of the class using approved GTL questions or through formal classroom evaluations performed by the department. Evidence of the evaluation must be shared with your Teaching Mentor and a short summary of their comments included in your teaching portfolio. <u>Approved Question for Student Feedback form.</u>

4. Self Evaluation
- After receiving feedback from students, peers and/or mentor, participants should write a self reflection on what they have learned from teaching and reflect on what they could do to improve their teaching in the future.

<u>D. Documentation</u>

A teaching dossier is an effective way to capture your excellence as a teacher because it presents teaching as a scholarly activity in an orderly manner and provides supportive evidence of all that you do inside and outside the classroom, laboratory, or clinic.

A teaching dossier should contain a minimum of the following elements:

1. Teaching Philosophy
   Provide 1-2 pages which describe what you believe is important to student learning, the objectives you have for teaching, how you reach these objectives, how you would/did measure your success, and any new directions you would like to explore regarding teaching.

2. Teaching Contributions
   a. Teaching Experience -provide titles, course number, and brief description of course taught or guest lecture. Include number of students in the course/section. You will also want to include other teaching related activities such as coaching, mentorship, supervision, and advising. Full course descriptions and activities can be described in an Appendix.
   b. Activities Undertaken to Improve Teaching and Learning – include statement of sessions attended related to teaching, conferences related to teaching, committees served related to teaching, and publications related to teaching. A list of sessions can be included an Appendix

3. Reflections on and Assessment of Teaching
   Highlight any recognition you may have achieved in your teaching career and provide a summary statement of your quality of teaching. Must also contain a self reflection of your teaching. Appendix must contain your feedback from students, peer evaluations, formal teaching evaluations, and nominations for teaching awards.

4. Supporting Documents
   Provide a table of contents of the documents that you will use to support your teaching accomplishments. This can be anything from the course outlines, sample hand-outs and exams, summary of courses for teaching

enhancement, evaluations, publications on teaching, and full descriptions of teaching activities or duties.

Must contain:
a. Letter of completion of GTL Program Level One
b. Reflections from 5 sessions attended
c. Written evaluation from Teaching Mentor
d. Evaluation from Peers
e. Copies of your two Teaching Observation Forms
f. Feedback from students
g. Self Reflection

The Teaching Dossier must be signed off by the Teaching Mentor or GTL Coordinator from the department. Random samples of teaching dossiers will be submitted annually for the FGSR Graduate Teaching and Learning committee.

Level 3:

The Post-baccalaureate Certificate in Teaching and Learning in Higher Education (approved April 2009 by APC) is equivalent to 9 credits and provides students with an opportunity to explore the deeper relationships of pedagogy and student learning. Information for the Certificate can be found in the Calendar under sections 96.4 (Extension) and 205.76 (Graduate Studies and Research).

Roles of Teaching Mentors:

- Evaluate student performance in teaching
- Provide sounding board for student to discuss issues related to teaching
- Advise student on areas they may want to learn more about
- Review reflections on sessions attended
- May evaluate Teaching Dossier (ensure 5 reflections, letter of completion of Level 1 GTL program, 2 critiques of peer/alternate teaching, self evaluation, feedback from students, 2 critiques of teaching from peers, and one teaching evaluation from the mentor)

Roles of GTL Program Coordinators:

- Help identify teaching mentors within department
- Confirm student has met pedagogical and practicum requirements
- Help student identify resources related to teaching (within their department or on campus)
- May evaluate Teaching Dossier (ensure 5 reflections, letter of completion of Level 1 GTL program, 2 critiques of peer/alternate teaching, self evaluation, feedback from students, 2 critiques of teaching from peers, and one teaching evaluation from the mentor)

Appendix D: Summary of Canadian University Teaching Programs for Graduate Students in Canada.

1. Classroom sessions. Most universities teaching orientations for graduate students through workshops and teaching sessions.

University	Program	Description
Brock	TA Orientation/TA Workshops	Sessions and Workshops
Brock	Instructional Skills Workshop	$50, 3 day workshop, get 'Certificate'
Calgary	Instructional Skills Workshop	24 hours - readings, sessions, micro-teaching
Calgary	Teaching Assistant Preparedness Workshop	2 days of seminars, get letter of completion
Concordia	Graduate Seminar and Teaching Orientation	Limited number of students, certificate, course/presentations
Dalhousie	TA Professional Development Days	Sessions and Workshops
Guelph	Graduate Students Day	Recognition of Participation, 12 hours teaching workshops
McGill	TA Orientation	Course
McGill	Learning to Teach	All day workshop, letter of participation
Ottawa	Professional Development for Teaching Assistants	Lunch and Learn
Queens	Teaching Development Day	Sessions and Workshops
Regina	Teaching Development Day	Certificate of Participation with 6+ workshops.
Ryerson	Instructional Skills Workshop	Sessions and Workshops
Ryerson	TA Orientation/TA Learning and Teaching Workshop Series	Sessions and Workshops
Simon Fraser	TA/TM Day	Sessions and Workshops
Simon Fraser	Instructional Skills Workshop	3 day with peer feedback
Toronto	Workshop Series and Symposium	Sessions and Workshops
UBC	Instructional Skills Workshops/TA Training	Sessions and Workshops
UBC	Teaching Professional Development Sessions	Numerous Sessions and Workshops
Victoria	TA Fundamentals Certificate	Workshops/sessions, certificate of participation
Victoria	Instructional Skills Workshop	Workshops/sessions
Western Ontario	TADay: Graduate Student Conference on Teaching	Sessions and Workshops
York	TA Day	Sessions and Workshops
York	TA Conference	Sessions and Workshops

2. Programs. There is little consistency among more formal University Teaching Programs with respect to the amount of work or requirements to complete.

University	Program	Description
Brock	GTA Practicum	Classroom observation, teaching and teaching dossier
Guelph	University Teaching: Theory and Practice	Credit course on teaching
Guelph	Graduate Student Teaching Development Program (TDP)	12 hours of workshops for Recognition of Participation
Memorial	Graduate Program in Teaching	3 hours teaching, weekly seminars, microteaching, teaching presentation, synthesis project
Victoria	(Teaching Assistant Consultant (TAC) Program	TA mentors are placed in departments to develop department specific training and one-on-one mentoring.
Ryerson	3 Levels of Certificates for TA's	Level One = 8 hours of sessions, Level Two =15-24 hours sessions, or apprenticeship and ISW, Level 3 = teaching 2 seminars for Level 1, peer mentorship, teaching dossier
Toronto	TATP Certificate	Microteaching, in class observation, teaching dossier, consultations, and likely course component.
UBC	Teaching Assistant Training Program	150 hours, Instructional Skills Workshop, seminars and workshops, peer observation, group project
UBC	Graduate Student Program	Sessions and workshops, one on one coaching on teaching.
Victoria	TA Fundamentals Certificate	Workshops/sessions, Certificate of Participation
Western Ontario	Teaching Assistant Training Program	Sessions and Workshops
Western Ontario	Teaching Mentor Program for Graduate Students	Microteaching and peer mentoring
Western Ontario	GS 9500	Course on Teaching for Graduate Students
Western Ontario	Advanced Teaching Program	20 hours of hands on teaching seminars
York	University Teaching Practicum	Self directed - 25 hours sessions, teaching practice (TA), teaching dossier, feedback from peer and student, student evaluations, microteaching
York	UTAL 5000.03	Course on Teaching for Graduate Students

3. Certificates, Citations and Diplomas. Although the term Certificate holds a formal description, it has been used loosely in the sense of Teaching programs where few actually carry the distinction of a true Certificate.

University	Program	Description
Alberta[38]	Post Graduate Certificate in Teaching and Learning in Higher Education	Approved in 2008, Not yet offered, Cost will be equivalent to a single course cost?
Brock	Basic and Advanced Certificates in Teaching and Learning in Higher Education	Instructional Skills Workshop - participation in 8 sessions for Basic and an additional 8 workshops and Teaching Philosophy for Advanced
Calgary	University Teaching Certificate	Sessions, microteaching, assignments, classroom observation and feedback, peer discussions
Dalhousie	Certificate in University Teaching and Learning	Courses/Project, teaching, 20 hours, teaching dossier, certificate and notation. About 10 students.
Guelph	Certificate in University Teaching	In progress, have a course for students to take - 120 hours for certificate
New Brunswick	Diploma in University Teaching	$ 300, Sessions, microteaching, assignments, classroom observation and feedback, peer discussions. For faculty and TA's.
Queens	Certificate in University Teaching (4 levels)	Courses/Project, practice, 20 hours, teaching dossier, certificate and notation on transcript
Regina	Citation in University Teaching	Certificate in University Teaching and Learning - theory, teaching dossier, course design, etc. New
Simon Fraser	Certificate in University Teaching and Learning	$100, Instructional Skills Workshop, weekly sessions, teaching presentation, teaching philosophy, Certificate of participation, limited number of students. 120 hours in 4 months

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[38] All examples given in the tables highlight programs available to all graduate students at their institutions. We have not highlighted any faculty or department specific programs.   For example, at the University of Alberta, the Faculty of Nursing also offers a Graduate Certificate in Teaching and Learning in Nursing Education. As this program is an embedded certificate that consists of three graduate level nursing courses, there are no additional fees. Students also receive a certificate and notation on the transcript.

University	Program	Description
Toronto	TATP Certificate	Microteaching, in class observation, teaching dossier, consultations
UBC	Graduate Student Certification Program	Require Instructional Skills Workshop or International Teaching Assistant Program before can apply. 8 Month Program
Victoria	Professional Development Program in University Teaching Certificate	20 students, teaching dossier with faculty advisor, curriculum
Victoria	TA Fundamentals Certificate	Workshops/sessions, Certificate of Participation
Waterloo	Certificate in University Teaching	Courses, workshops, teaching dossier, teaching observation, peer review, response paper
Western Ontario	Certificate in University Teaching and Learning	Microteaching, 10 workshops, peer review, teaching portfolio, written project/course design, Completion of Teaching Mentor Program, Completion of TATP/ATP/GS9500 or BUS 9830

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