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The following Motions and Documents were considered by the GFC Academic Planning Committee at its Wednesday, October 10, 2018 meeting:

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Agenda Title: **Proposal for a Dual Doctoral Degree Graduate Program, University of Alberta (Faculty of Graduate Studies and Research and Faculty of Engineering) and Universidad Técnica Federico Santa María, Chile (“UTFSM”)**

CARRIED MOTION: THAT the GFC Academic Planning Committee approve, with delegated authority from General Faculties Council, the Dual Doctoral Graduate Program between the Faculty of Graduate Studies and Research and the Faculty of Engineering, University of Alberta, and Universidad Técnica Federico Santa María, Chile (“UTFSM”) as set forth in Attachment 1, to take effect upon final approval

Final Item 4

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Agenda Title: **Proposal for a Joint Doctoral Degree Graduate Program, University of Alberta (Faculty of Graduate Studies and Research and Faculty of Science) and Technical University of Munich, Germany (“TUM”)**

CARRIED MOTION: THAT the GFC Academic Planning Committee approve, with delegated authority from General Faculties Council, the Joint Doctoral Graduate Program between the Faculty of Graduate Studies and Research and the Faculty of Science, University of Alberta, and Technical University of Munich, Germany (“TUM”) as set forth in Attachment 1, to take effect upon final approval

Final Item 5

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Agenda Title: **Proposal from the Faculty of Graduate Studies and Research for Program Changes to Graduate Programs in the Department of Secondary Education, Faculty of Education**

CARRIED MOTION: THAT the GFC Academic Planning Committee approve, with delegated authority from General Faculties Council, the proposed changes to existing Master’s and Doctoral programs in Secondary Education, as submitted by the Faculty of Education and the Faculty of Graduate Studies & Research, as set forth in Attachment 1, to take effect upon approval and published in the 2019-2020 University Calendar

Final Item 6

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Agenda Title: **Proposal from the Faculty of Graduate Studies and Research for Program Changes to the MSc programs in Medical Sciences - Dental Hygiene, Dentistry, Oral Biology, Oral Medicine, Orthodontics, Periodontology, and PhD programs in Medical Sciences - Dentistry, Oral Biology, Orthodontics, Periodontology, in the Faculty of Medicine and Dentistry**

CARRIED MOTION: THAT the GFC Academic Planning Committee approve, with delegated authority from General Faculties Council, the proposed changes to existing MSc and PhD programs in Medical Sciences – Dentistry, as submitted by the Faculty of Medicine and Dentistry, and the Faculty of Graduate Studies & Research, as set forth in Attachment 1, to take effect upon approval

Final Item 7

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Agenda Title: **Proposal from the Faculty of Graduate Studies and Research for Program Changes to the Master of Science in Medical Sciences – Medical Genetics and the PhD in Medical Sciences – Medical Genetics, Faculty of Medicine and Dentistry**

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CARRIED MOTION: THAT the GFC Academic Planning Committee approve, with delegated authority from General Faculties Council, the proposed changes to existing Master and Doctoral programs in Medical Sciences (Medical Genetics), as submitted by the Faculty of Medicine & Dentistry, and the Faculty of Graduate Studies & Research, as set forth in Attachment 1, to take effect upon approval

Final Item 8

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Agenda Title: **Report from the Dean, Faculty of Graduate Studies and Research, on the Name Change of the second level specialization for the MEd and PhD programs in the Department of Educational Psychology from Measurement, Evaluation and Cognition to Measurement, Evaluation and Data Science**

CARRIED MOTION: THAT the GFC Academic Planning Committee receive the report of the Dean of Graduate Studies and Research on approvals with authority sub-delegated from GFC Academic Planning Committee concerning the name change of the second level specialization in Educational Psychology from Measurement, Evaluation and Cognition to Measurement, Evaluation and Data Science

Final Item 9

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Agenda Title: **Proposed Sound Studies Institute in the Faculty of Arts**

CARRIED MOTION: THAT the GFC Academic Planning Committee, under delegated authority from General Faculties Council, approve the new Sound Studies Institute, as proposed by the Faculty of Arts and contained within Attachment 1, to be effective immediately.

Final Item 10

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Agenda Title: **Proposal from Faculty of Science to Change the Name of the Urban and Regional Planning Program to the School of Urban and Regional Planning**

CARRIED MOTION: THAT the GFC Academic Planning Committee approve, under delegated authority from General Faculties Council, the proposed name change of the Urban and Regional Planning Program in the Department of Earth and Atmospheric Sciences in the Faculty of Science to the School of Urban and Regional Planning within the Department of Earth and Atmospheric Sciences, to take effect upon final approval.

Final Item 11

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**Governance Executive Summary  
Action Item**

Agenda Title: **Proposal for a Dual Doctoral Degree Graduate Program, University of Alberta (Faculty of Graduate Studies and Research and Faculty of Engineering) and Universidad Técnica Federico Santa María, Chile (“UTFSM”)**

**Motion:** THAT the GFC Academic Planning Committee approve, with delegated authority from General Faculties Council, the Dual Doctoral Graduate Program between the Faculty of Graduate Studies and Research and the Faculty of Engineering, University of Alberta, and Universidad Técnica Federico Santa María, Chile (“UTFSM”) as set forth in Attachment 1, to take effect upon final approval

**Item**

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| Action Requested | <input checked="" type="checkbox"/> Approval <input type="checkbox"/> Recommendation  |
| Proposed by      | Debby Burshtyn, Interim Dean and Vice Provost, Faculty of Graduate Studies and Research<br>Fraser Forbes, Dean of Engineering |
| Presenter(s)     | Robert Hayes, Associate Chair, Chemical and Materials Engineering<br>Janice Causgrove Dunn, Associate Dean, FGSR              |

**Details**

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| Responsibility   | Provost and Vice-President (Academic)  |
| The Purpose of the Proposal is <i>(please be specific)</i>                       | For the University of Alberta’s Faculty of Engineering to offer a Dual Doctoral Program through an agreement with Universidad Técnica Federico Santa María. To contribute to the internationalization of graduate degree programs in Engineering through collaboration with the Universidad Técnica Federico Santa María and to recruit strong graduate students.  |
| Executive Summary <i>(outline the specific item– and remember your audience)</i> | <p>The agreement builds on our current MOU with Universidad Técnica Federico Santa María (USM) for the exchange of undergraduate students. We exchanged several students under that, and then started recruiting graduate students. USM was founded in 1926 and was the first Chilean university to confer a doctorate in engineering in 1962. The number of students coming from UTFSM is three MSc, two PhD students. The dual degree proposed will foster collaboration and encourage more students. Several faculty members have active contacts with USM, and we have several overlapping research interests, notably in mineral processing, food engineering, welding and advanced computational modelling.</p> <p>Discussions for the recruitment of students to come to the University of Alberta next year under this program have taken place with Professors Chad Liu and Petr Nikrityuk. As soon as the agreement is signed, broader scale discussion will commence.</p> |
| Supplementary Notes and context  |  |

**Engagement and Routing** (Include meeting dates)

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| <p>Consultation and Stakeholder Participation<br/>(parties who have seen the proposal and in what capacity)</p> <p>&lt;For information on the protocol see the <a href="#">Governance Toolkit section Student Participation Protocol</a>&gt;</p> | <p><u><i>Those who are actively participating:</i></u></p> <ul style="list-style-type: none"> <li>University of Alberta International: Danielle Scott, Director, International Relations, and Shannon Derrick, Senior International Partnerships Administrator</li> <li>Robert Hayes, Associate Chair, Chemical and Materials Engineering</li> </ul>  |
|  | <p><u><i>Those who have been consulted:</i></u></p> <ul style="list-style-type: none"> <li>Faculty of Engineering: Dr. Jason Carey, Associate Dean (Programs and Planning); Dr. Ying Tsui, Associate Dean (Research and Internationalization)</li> <li>FGSR: Janice Hurlburt, Governance and Policy Coordinator and Dr. Debby Burshtyn, then Vice-Dean: Involved throughout process at various points</li> <li>Office of the Provost and Vice-President (Academic): Dr. Tammy Hopper, Vice-Provost (Programs) and Andrea Patrick, Acting Portfolio Initiatives Manager</li> <li>Office of General Council: Darin McKinley:</li> <li>Information and Privacy Office (IPO):</li> <li>Risk Management Services (RMS):</li> </ul> |
| <p>Approval Route (Governance)<br/>(including meeting dates)</p>   | <p><u><i>Those who have been informed:</i></u></p> <ul style="list-style-type: none"> <li></li> </ul> <ul style="list-style-type: none"> <li>Faculty of Engineering Graduate Program Committee (GPC):</li> <li>Faculty of Engineering Academic Planning Committee (APC):</li> <li>Faculty of Engineering Executive Coordinating Council (ECC): July 5, 2018</li> <li>FGSR Council: September 19, 2018</li> <li>GFC Academic Planning Committee: October 10, 2018</li> </ul>   |

**Strategic Alignment**

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| <p>Alignment with <i>For the Public Good</i></p> | <p><b>Engage</b><br/><b>GOAL:</b> Engage communities across our campuses, city and region, province, nation and the world to create reciprocal, mutually beneficial learning experiences, research projects, partnerships, and collaborations.<br/><b>OBJECTIVE 18:</b><br/>Seek, build, strengthen and sustain partnerships with local, national or international research agencies, governments, government ministries and agencies, universities, Indigenous communities, libraries, not-for-profits, industry, business, and community organizations.<br/>Strategy 3: Encourage municipal, provincial, national, and international collaborations, partnerships, and MOUs at institutional, faculty, department, unit, and individual levels.</p> <p><b>Build</b><br/><b>GOAL:</b> Build a diverse, inclusive community of exceptional students, faculty and staff from Alberta, Canada, and the world.<br/>Strategy 3: Optimize our international recruiting strategies to attract well-qualified international students from regions of strategic</p> |
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Item No. 4

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|   | importance, and enhance services and programs to ensure their academic success and integration into the activities of the university   |
| Alignment with Institutional Risk Indicator [Governance Office] | Enrolment management<br>Student success<br>Reputational  |
| Legislative Compliance and jurisdiction                         | Post-Secondary Learning Act (PSLA)<br>GFC Academic Planning Committee (APC) Terms of Reference<br>GFC Academic Standards Committee (ASC) Terms of Reference<br>UAPPOL Shared Credentials Policy<br>UAPPOL Admissions Policy<br>UAPPOL Academic Standing Policy |

Attachments (each to be numbered 1 - <>)

1. Dual Doctoral Program between the Faculty of Engineering, University of Alberta, and Universidad Técnica Federico Santa María, Chile

*Prepared by:* Janice Hurlburt (Graduate Governance and Policy Coordinator), [jhurlbur@ualberta.ca](mailto:jhurlbur@ualberta.ca)



UNIVERSIDAD TÉCNICA  
FEDERICO SANTA MARÍA



## **AGREEMENT FOR A DUAL DOCTORAL DEGREE PROGRAM**

**BETWEEN**                              **UNIVERSIDAD TÉCNICA FEDERICO SANTA MARÍA**  
   **Located in Valparaíso, Chile**  
   **(“UTFSM”)**

**AND**                                      **THE GOVERNORS OF THE UNIVERSITY OF ALBERTA**  
   **as represented by the Faculty of Engineering**  
   **Located in Edmonton, Alberta, Canada**  
   **(“UAlberta”)**

Collectively referred to as the “Parties.”

### **WHEREAS:**

- A. The Parties to this Agreement have entered into a memorandum of understanding (“MoU”) that contemplates various forms of academic cooperation; and
- B. The Parties wish to formalize the terms for an Agreement under which doctoral students from either Party may pursue a Dual Degree Program.

**NOW THEREFORE** in consideration of the above and other good and valuable consideration, the Parties agree as follows:

### **1. DEFINITIONS**

1.1. In this Agreement:

- a) “Dual Degree Program” means a program of study under which students may obtain a doctoral degree in Engineering from UAlberta and in Engineering from UTFSM.

At the UTFSM the engineering science doctoral programs are included in the “Dual Degree Program”.

UAlberta will provide formal recognition of the completion of the Dual Degree Program through a notation on the transcript. There will be no statement on the UAlberta parchment.

- b) “Dual Degree Students” mean those students who are participating in the Dual Degree Program.



- c) “Home Institution” means the institution where the student was originally admitted to a doctoral degree program in one of the degree programs contemplated by the Dual Degree Program.
- d) “Second Institution” means the institution which is not the Dual Degree Student’s Home Institution.

## 2. LIAISON OFFICERS

2.1. Each Party shall designate a liaison officer (“Liaison Officer”) who will be responsible for coordinating the specific aspects of the Dual Degree Program as well as advising and assisting students taking part in the Dual Degree Program.

2.2. The designated Liaison Officers for the Agreement are:

### **For UTFSM**

Ms. Karol Trautmann Thomas  
Director of International  
Affairs Office

Universidad Técnica Federico Santa  
María

Avda. España 1680, Valparaíso, Chile

Telephone: + 56 32 2654599  
Fax: + 56 32 2654727  
E-mail : [karol.trautmann@usm.cl](mailto:karol.trautmann@usm.cl)

### **For UAlberta**

Dr. Robert E Hayes  
Professor

Department of Chemical and Materials  
Engineering  
University of Alberta  
12-233 Donadeo Innovation Centre for  
Engineering  
9211 - 116 Street NW  
Edmonton, AB T6G 1H9  
Canada  
Telephone:+1-780-492-3571  
Fax: +1-780-492-2881  
E-mail: [bob.hayes@ualberta.ca](mailto:bob.hayes@ualberta.ca)

- 2.3. All notices sent pursuant to this Agreement shall be sent to the above-mentioned Liaison Officers. The Parties agree that either Party may change its designated Liaison Officer by notifying the other Party in writing of such change.
- 2.4. Any notice to be given by either Party pursuant to this Agreement shall be in writing and may be delivered by commercial courier, registered mail (unless a postal strike or other disruption is currently in place), facsimile machine, or e-mail to the relevant Liaison Officer using the contact information set out above (or such other contact information as notified by a Party by written notice given in accordance with this clause).
- 2.5. If a Party receives a message that a notice sent to an e-mail address is undeliverable, or that the Liaison Officer is out of the office, or if the Party has any other reason to believe that the delivery of a notice was ineffective, then the Party will send the notice using a different method.



### **3. APPLICATION, SELECTION AND ADMISSION OF STUDENTS FOR THE DUAL DEGREE PROGRAM**

- 3.1. Every Dual Degree Student must meet the normal admission requirements of both Parties for the relevant degree programs in addition to any requirements outlined in Section 1 of Appendix A.
- 3.2. A Dual Degree Student must first be admitted into a doctoral degree program at their Home Institution.
- 3.3. To be considered for the Dual Degree Program, a student must fill out the relevant application form (see [www.ualberta.ca/graduate-studies/prospective-students/apply-for-admission/shared-credential-applications](http://www.ualberta.ca/graduate-studies/prospective-students/apply-for-admission/shared-credential-applications)) and present it to his/her Home Institution. If the Home Institution agrees to recommend the student, the form will be forwarded to the Second Institution.
- 3.4. The Second Institution will determine whether to admit the student into the Dual Degree Program at its sole discretion and will inform the Home Institution of its decision.
- 3.5. Each Second Institution will admit up to a maximum of ten (10) Dual Degree Students from each Home Institution each academic year for the Dual Degree Program. The maximum number of students may be changed by mutual agreement of the Parties and shall be expressed in writing.

### **4. DUAL DEGREE PROGRAM REQUIREMENTS AND ADMINISTRATION**

- 4.1. Dual Degree Students will follow a program of study and research which shall satisfy the requirements of both Parties, including any requirements outlined in Section 2 of Appendix A.
- 4.2. The Parties will provide an adequate orientation as well as ongoing advice and support to the Dual Degree Program. At UAlberta, the relevant Faculty will take the lead on assisting Dual Degree Students.
- 4.3. Either Party may, at its sole discretion, require a Dual Degree Student to withdraw from the Dual Degree Program. If required to withdraw from the Dual Degree Program, the student will return to his/her doctoral studies at the Home Institution and will receive appropriate credit for work done at the Second Institution while in the Dual Degree Program.
- 4.4. The Dual Degree Student may withdraw, at any time, from the Dual Degree Program, and return to his/her doctoral studies at the Home Institution. The student will receive appropriate credit for work done at the Second Institution while in the Dual Degree Program.
- 4.5. At the end of a Dual Degree Student's studies, each Party will check whether the Student has met the relevant degree requirements of that Party and will confirm to the other Party the Student's eligibility to graduate.

- 4.6. Upon successful completion of the doctoral degree requirements of both Parties, each Institution will award to the Dual Degree Student the relevant degree of that Institution and:
- a. The Liaison Officer at UAlberta shall inform the Liaison Officer at UTFSM of this award; and
  - b. The Liaison Officer at UTFSM shall inform the Liaison Officer at UAlberta of this award.
- 4.7. The designations on the Dual Degree Program Student's academic record will include the following:
- a. The UAlberta transcript notation will read: "Participating in a shared credential program offered jointly by this university and the Universidad Técnica Federico Santa María."
  - b. There will be no statement on the UAlberta parchment.

## **5. FEES AND FINANCIAL MATTERS**

- 5.1. Dual Degree Students shall pay student tuition and fees to the institution at which they are resident at any given time. At UAlberta, Dual Degree Students who are not Canadian citizens or Permanent Residents of Canada are required to pay at the rates for international students. Fees are subject to change without notice.
- a. Dual Degree Students from UAlberta resident at UTFSM must maintain minimal registration at UAlberta in order to remain in good standing at UAlberta and shall be responsible for any associated costs. As of the 2017/18 academic year, this would involve registering in the course AGRMT 909 (Agreement) which does not assess tuition but requires payment of mandatory off-campus non-instructional fees.
  - b. Dual Degree Students from UTFSM are not required to meet the three-year program fees payment requirement for doctoral degree students outlined in UAlberta's Calendar in the "Minimum Units of Course Weight Registration Requirements" section.
- 5.2. Dual Degree Students shall have sufficient personal funds to cover any and all expenses not covered by either institution as detailed in this Agreement. Such expenses include, but are not limited to:
- a. Tuition and/or other fees as required by their Home and Second Institution;
  - b. Cost of living (including rent, food and health care costs);
  - c. Recreation;
  - d. Travel and transportation, including travel insurance;
  - e. Text books and school supplies;
  - f. All necessary visas; and

- g. Any other expenses not specifically noted.

## **6. HOUSING**

- 6.1. Each Second Institution shall endeavour to provide information to students regarding housing options, the cost of which shall be paid by the student.

## **7. REGULATIONS GOVERNING STUDENTS**

- 7.1. Dual Degree Students shall be bound by the rules, regulations, and codes of conduct of the university or universities at which they are registered.
- 7.2. Dual Degree Students shall be bound by the laws of the country in which they are resident.

## **8. INTELLECTUAL PROPERTY**

- 8.1. Without limiting the generality of Section 7 (“Regulations Governing Students”), the following guidelines and policies related to intellectual property and copyright of the Parties which may be amended from time to time, shall apply to Dual Degree Students:

### **8.2. At UAlberta:**

- a. Patent Policy as set out in <https://policiesonline.ualberta.ca/policiesprocedures/policies/patent-policy.pdf>;
- b. Graduate Program Manual as set out in <https://www.ualberta.ca/graduate-studies/about/graduate-program-manual>; and
- c. General Faculties Council (GFC) Policy 120.7 as set out in [www.gfcpolicymanual.ualberta.ca/120UniversityCommunityRelation.aspx](http://www.gfcpolicymanual.ualberta.ca/120UniversityCommunityRelation.aspx).

### **8.3. At UTFSM:**

- a. General Regulation No. 46 of Patents Inventions, amended by Decree No. 16 of Rectory dated March 15, 1994 (Part II).
- b. Law 19.039 of Industrial Property.
- c. Law 17.336 of Intellectual Property.

- 8.4. Notwithstanding anything else in this Agreement, a Dual Degree Student shall own the copyright in his/her thesis.

## **9. ACCESS TO INFORMATION AND PRIVACY LEGISLATION**

- 9.1. The parties acknowledge that UAlberta is a public body subject to the *Freedom of Information and Protection of Privacy Act* (Alberta) (“FOIP”), as amended. For further information about FOIP see [www.ipo.ualberta.ca](http://www.ipo.ualberta.ca). The Parties agree to only use any personal information exchanged for the purposes of this Agreement for the purposes of administering this Dual Degree Program.
- 9.2. No personal information related to any Dual Degree Student will be released by UAlberta to UTFSM without the student’s prior written consent, except as permitted by law. Such consent will be obtained through the Shared Credentials Initial Approval Form or in such other form as UAlberta may provide from time to time.

## **10. CONFIDENTIALITY**

- 10.1. Each Party who receives any information from the other marked “Confidential” (“Confidential Information”), will take reasonable steps to protect its confidentiality, will not disclose to any third party such Confidential Information without the prior written consent of the other Party, and will only use such Confidential Information for the purposes contemplated in this Agreement. For the purposes of this Agreement, Confidential Information shall not include information that is or becomes part of the public domain through no act of the receiving Party, that was in the receiving Party’s possession before receipt from the disclosing party, that was rightfully received by the receiving Party from a third party without a duty of confidentiality, or information that is required to be disclosed under any applicable law or by order of a court.

## **11. GOVERNING LAW**

This agreement is based on the common trust and good faith of the parties. In case of disputes, the Parties shall make their best efforts to obtain an amicable resolution. In case the Parties do not reach a resolution through bilateral talks, the following rules shall apply:

- I. If the dispute relates to an incident that occurred in Canada, then the matter shall be heard in the Alberta courts and the laws of Alberta shall apply;
- II. If the dispute relates to an incident that occurred in Chile, then the matter shall be heard in the courts of Valparaíso, Chile and the laws of Chile shall apply;
- III. If the dispute does not relate to an incident that occurred in either location, then the courts and laws of the party that is the defendant in the lawsuit shall apply.

## **12. LIABILITY AND INDEMNIFICATION**

12.1. Each party ("Indemnifying Party") will:

- be liable to the other party ("Indemnified Party") for; and
- indemnify and hold harmless the Indemnified Party from and against:

any and all liabilities, damages, costs, claims, suits or actions, loss, injury, death, or damage to any third party (including students) occasioned by or as a result of the negligent acts, willful misconduct or breach of obligations assumed under this Agreement by the Indemnifying Party or their employees, officers, agents, students, and contractors.

Notwithstanding the above, in no event will either Party be liable for any indirect, consequential, or incidental claims incurred by any Indemnified Party in respect of this Agreement.

## **13. INSURANCE**

Each Indemnifying Party shall purchase, provide and maintain at its own expense during the term of this Agreement, General Liability Insurance with coverage and limits that would be sufficient to meet each Indemnifying Party's obligations herein.

## **14. SURVIVAL**

14.1. All provisions relating to the nature of the relationship, indemnity, insurance, payment, confidentiality, and other obligations and provisions, the performance of which by their nature extends beyond the termination of this Agreement, shall continue in full force and effect following the effective date of such termination.

## **15. COUNTERPARTS**

15.1. This Agreement may be executed in any number of counterparts or duplicates, each of which shall be an original, and such counterparts or duplicates shall together constitute one and the same agreement.

## **16. COMING INTO FORCE, TERMINATION, AND AMENDMENTS**

16.1. This Agreement shall come into force and effect from the date on which the last Party endorses the Agreement, and shall continue in effect for a period of five (5) years unless terminated in accordance with the terms of the Agreement (the "Term").

16.2. The Parties shall review the Dual Degree Program in the fifth year of this Agreement, and every five years thereafter, to ensure that it still meets the Parties' principles and adds value to UTFSM and UAlberta respectively.

16.3. Either Party may terminate the Agreement on twelve (12) months written notice to the other Party. Upon receipt of such notice, no additional students will be



admitted to the Dual Degree Program. Students already in the Dual Degree Program will be given reasonable time to complete their studies.

16.4. The Agreement may be amended or extended by the mutual written consent of the Parties.

## **17. GENERAL**

17.1. This Agreement, including its Appendices, contains the whole agreement between the Parties and no understandings, representations or agreements, oral or otherwise, exist between the Parties with respect to the subject matter of this Agreement, except as expressly set out in this Agreement.

17.2. If any provision of this Agreement is found to be invalid or unenforceable to any extent, the remainder of this Agreement will not be affected or impaired thereby and will remain valid and enforceable to the extent permitted by law.

17.3. Nothing in this Agreement shall make the relationship between the Parties one of partnership, joint venture or employment. Nothing in this Agreement constitutes authority for one Party to make commitments which bind the other Party or to otherwise act on behalf of such other Party.

17.4. The rights and obligations of the Parties hereunder shall not be assigned or assignable, in whole or in part, by either Party. The terms of this Agreement shall ensure to the benefit and be binding upon the successors of each party.

17.5. Neither party will use, nor shall it permit any person employed by it to use, identifying marks of the other Party, other than with the written consent of such other party, which may be arbitrarily withheld.

**IN WITNESS WHEREOF** the duly authorized officers of the Parties have executed and delivered this Agreement on the dates indicated below.

Signed for and on behalf of  
**UNIVERSIDAD TÉCNICA  
FEDERICO SANTA MARÍA**

Signed for and on behalf of  
**THE GOVERNORS OF THE  
UNIVERSITY OF ALBERTA**

the \_\_\_\_\_ day of \_\_\_\_\_ 2018.

the \_\_\_\_\_ day of \_\_\_\_\_ 2018.

\_\_\_\_\_  
Dr. Darcy Fuenzalida O'Shee  
Rector

\_\_\_\_\_  
Dr. Steven Dew  
Provost and Vice-President (Academic)



UNIVERSIDAD TECNICA  
FEDERICO SANTA MARIA



the \_\_\_\_\_ day of \_\_\_\_\_ 2018.

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Dr. Fraser Forbes  
Dean, Faculty of Engineering

the \_\_\_\_\_ day of \_\_\_\_\_ 2018.

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Dr. Debby Burshtyn  
Interim Dean, Faculty of Graduate  
Studies and Research

## APPENDIX A

### 1. Application, Selection, and Admission of Students:

- 1.1. In order to be considered for participation in the Dual Degree Program, a potential Dual Degree Student whose Home Institution is UTFSM must meet the standard admission requirements of the relevant UAlberta Engineering department and the Faculty of Graduate Studies and Research.
- 1.2. All Dual Degree Program applications received by UAlberta are subject to approval by the Associate Chair (Graduate Studies) of the relevant Engineering department.
- 1.3. In order to be considered for participation in the Dual Degree Program, a potential Dual Degree Student whose Home Institution is UAlberta must meet the standard admission requirements of the relevant UTFSM Engineering department and the *Dirección General de Investigación Innovación y Postgrado*.

### 2. Dual Degree Program Requirements and Administration:

#### 2.1. Physical Residency Requirements:

- a) Dual Degree Students must spend at least one (1) academic term at their Home Institution before attending the Second Institution.
- b) UAlberta's physical residency requirements for Dual Degree Students are as stipulated for doctoral students in UAlberta's Calendar in the appropriate Graduate Program section.
- c) UTFSM's physical residency requirements for Dual Degree Students are as stipulated for doctoral students in the Reglamento General n°47 "Reglamento General de los Estudios de Postgrado" and "Reglamento de Graduación para grados de Magíster y Doctor".

#### 2.2. Academic Program Requirements:

- a) Dual Degree Students will follow a program of study and research which shall satisfy the standard degree requirements of both Parties.
- b) At UAlberta, the final study program for each Dual Degree Student will be subject to approval by the Associate Chair (Graduate Studies) in the relevant Engineering department and it must follow regulations established in the graduate studies manual for the relevant department in the Faculty of Engineering.

- 2.3. Ethics Requirements: In accordance with UAlberta policy, every Dual Degree Student must meet UAlberta's ethics and academic integrity training requirements set by the UAlberta Faculty of Graduate Studies and Research. Further information regarding those requirements can be found here: <https://uofa.ualberta.ca/graduate-studies/current-students/academic-requirements/ethics>. Additionally, Dual Degree Students must follow all UAlberta policies and procedures relating to research involving either human participants or animals.
- 2.4. Professional Development Requirement: In accordance with UAlberta policy, every Dual Degree Student must meet UAlberta's professional development requirements set by the UAlberta Faculty of Graduate Studies and Research. Further information regarding those requirements can be found here: <https://www.ualberta.ca/graduate-studies/professional-development/professional-development-requirement>.
- 2.5. Supervision: In accordance with UAlberta policy, every Dual Degree Student in a thesis-based program must have a supervisor at each institution while in the Dual Degree Program.
- 2.6. Doctoral Supervisory Committee:
- a) Every doctoral Dual Degree Student must have a supervisory committee of at least three (3) members, including the supervisors at both Parties.
  - b) At the end of each academic year, the supervisory committee will review the Dual Degree Student's progress.
- 2.7. Required Examinations:
- a) Every Dual Degree Student must pass a doctoral candidacy examination before they can proceed to final thesis defense. The structure of the candidacy examination will be in accordance with UAlberta policies (<http://calendar.ualberta.ca/content.php?catoid=6&navoid=843>). The Dual Degree Student must complete the candidacy examination at their Home Institution with all the supervisors attending in person or by teleconference.
  - b) Every Dual Degree Student must successfully prepare and defend a thesis before an examining committee that is set up in accordance with the relevant policies of both Parties unless otherwise stated in this Agreement. A copy of the thesis defence regulations of each Party is attached at Appendix B. The Dual Degree Student must complete the thesis defense at their Home Institution with all the supervisors attending in person or by teleconference.

## APPENDIX B

### THESIS DEFENCE REGULATIONS

#### AT THE UTFSM

##### Thesis evaluation

1. Once the written thesis is submitted by the student, the Director of the Program shall gather a Thesis Committee and inform the Graduate Department. The Thesis Committee shall be formed by at least:
  - a professor / researcher designated by the Program Committee, who may or may not be an academic from the Program.
  - a professor / researcher external to the institutions involved, expert in the area, designated by the Committee of Coordination and Development of Research and Graduate Studies, who is proposed by the Program Committee.
  - The Director (Supervisor) of the Thesis

The Director of the Program will designate the President of the Committee from the members of the Committee. This responsibility cannot be held by the Director of the Thesis.

2. There will be a Graduation Book for each Graduate Program, in which the Thesis Committee will register the development, partial and final marks of the Thesis Defence.

3. Functions of the Thesis Committee:

To approve, reject and decide on any possible modifications regarding the thesis within a maximum period of one (1) month after the written thesis has been submitted and request the presence of the student during the process if necessary.

To proceed with the defence of the thesis within a maximum period of one (1) month from the time of the written Thesis' approval, recording on the Protocol Thesis Defence book.



4. The Thesis Defense is public, it shall be announced by the Director of the Program within at least seven (7) working days in advance and will consist of a presentation and an oral defense of the thesis. The Thesis Committee will evaluate the written thesis and the oral defense.
  
5. The student must pass the Thesis Defense with a mark greater or equal to 85, on a scale from 0 to 100. If the mark is lower than 85, the Thesis Committee, within five (5) business days after the thesis defense, will determine if an additional chance to defend the thesis is granted or not.
  
6. The resolution of the Thesis Committee will be validated and announced by the Director of the Program to the Graduate Department.
  
7. The General Director of Research and Graduate Studies will be responsible for answering questions that may arise from the interpretation of the regulations, assessed by the Committee of Coordination and Development of Research and Graduate Studies.

**AT UALBERTA:**

A point-in-time copy of UAlberta's thesis defense regulations can be found attached. The current regulations can be found in UAlberta's Calendar at: <http://calendar.ualberta.ca/content.php?catoid=6&navoid=843#conduct-of-examinations>.

**Governance Executive Summary  
Action Item**

Agenda Title: **Proposal for a Joint Doctoral Degree Graduate Program, University of Alberta (Faculty of Graduate Studies and Research and Faculty of Science) and Technical University of Munich, Germany (“TUM”)**

**Motion:** THAT the GFC Academic Planning Committee approve, with delegated authority from General Faculties Council, the Joint Doctoral Graduate Program between the Faculty of Graduate Studies and Research and the Faculty of Science, University of Alberta, and Technical University of Munich, Germany (“TUM”) as set forth in Attachment 1, to take effect upon final approval

**Item**

|                  |  |
|------------------|--|
| Action Requested | <input checked="" type="checkbox"/> Approval <input type="checkbox"/> Recommendation   |
| Proposed by      | Debby Burshtyn, Interim Dean and Vice Provost, Faculty of Graduate Studies and Research<br>Frank Marsiglio, Interim Dean, Faculty of Science |
| Presenter(s)     | Renée Elio, Professor, Department of Computing Science<br>Janice Causgrove Dunn, Associate Dean, Faculty of Graduate Studies and Research    |

**Details**

|  |   |
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| Responsibility   | Provost and Vice-President (Academic)   |
| The Purpose of the Proposal is <i>(please be specific)</i>                       | For the University of Alberta’s Faculty of Science to offer a Joint Doctoral Program through an agreement with Technical University of Munich, Germany. To contribute to the internationalization of graduate degree programs in Science through collaboration with the Technical University of Munich, Germany and to recruit strong graduate students.  |
| Executive Summary <i>(outline the specific item– and remember your audience)</i> | <p>The Technical University of Munich (TUM) is one of Germany’s leading universities and one of the top fifty universities worldwide, as determined by Academic Ranking of World Universities (2016 rank: 47th) and the Times Higher Education University Ranking (2018 rank: 41<sup>st</sup>). Home to approximately 41000 students and 550 academic staff, TUM has 14 ‘departments’ and ‘schools’ (corresponding to what UofA would term faculties): architecture; life sciences; chemistry; civil, geo, and environmental engineering; electrical and computer engineering; informatics; mathematics; mechanical engineering; medicine; physics; sport and health sciences; education; governance; and management. Its 2017 university budget was 1.451 billion Euros; 2017 external funding amounted to 331.6 million Euros. TUM has been one of Germany’s “Universities of Excellence” since that program began in 2006 and has been highly successful in securing considerable research funding through Germany’s “Clusters of Excellence” in the domains of natural sciences, life sciences, medicine, and engineering. In 2016, TUM awarded approximately 1000 doctoral degrees.</p> <p>Germany has been a strategic focus for the University of Alberta’s international initiatives for many years. The proposed joint doctoral degree program is built on a foundation of formal strategic partnerships between researchers within Faculty of Science and TUM, partnerships</p> |

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|                                 | <p>with a track record of innovative training and research opportunities for graduate students. The Alberta – Bavarian Research Network (ABBY-NET) received funding from the Government of Alberta and the State of Bavaria between 2012-2018 as an interdisciplinary research and training initiative, with a focus on student exchange and training opportunities. Its signature training element was a graduate student ‘summer school’ program, alternating between Bavaria and Alberta, which introduced students to interdisciplinary approaches for energy and environment research that leveraged computing and data analytics technologies. Faculty of Science researchers from the Department of Computing Science and the Department of Earth and Atmospheric Sciences participated in this initiative. In 2015, the Alberta/Technical University of Munich (ATUMS) International Graduate School in Functional Materials was established as a collaborative graduate training program lead by the Department of Chemistry and funded jointly by the Natural Sciences and Engineering Research Council (NSERC) in Canada, under their CREATE program training envelope, and the DFG (German Research Foundation) in Germany. The ATUMS program includes impacts graduate students in both the Department of Chemistry and the Department of Physics.</p> <p>In sum, there is an established and active track record of graduate student mobility and training between Faculty of Science research groups and departments, and their counterparts at TUM. The proposed joint doctoral degree program provides an opportunity for doctoral students at each institution to have a shared credential that reflects the unique collaborative learning and training experience that TUM and the Faculty of Science can offer. This joint doctoral degree will allow the Faculty of Science to sustain and enhance its relationship with TUM. Future amendments to this agreement, with approval by TUM, can extend the joint doctoral degree to include doctoral programs offered by other units at the University of Alberta.</p> <p>The proposed joint doctoral degree program aligns with the commitments and objectives stated in the UAPPOL Shared Credential Policy. Its operational implementation follows procedures established by the Faculty of Graduate Studies and Research and by the UAPPOL Parchment Procedure under the oversight of the Office of the Registrar.</p> |
| Supplementary Notes and context | A proposal will come forward to GFC Executive Committee to include the name of both institutions on the parchment for the proposed joint doctoral degree.  |

**Engagement and Routing** (Include meeting dates)

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| <p>Consultation and Stakeholder Participation (parties who have seen the proposal and in what capacity)</p> <p>&lt;For information on the protocol see the <a href="#">Governance Toolkit section Student</a></p> | <p><u><i>Those who are actively participating:</i></u></p> <ul style="list-style-type: none"> <li>University of Alberta International: Danielle Scott, Director, International Relations, and Shannon Derrick, Senior International Partnerships Administrator</li> </ul> <p><u><i>Those who have been consulted:</i></u></p> <ul style="list-style-type: none"> <li>FGSR: Janice Hurlburt, Governance and Policy Coordinator and Dr. Debby Burshtyn, Vice-DeanUAlberta International: Involved throughout the process</li> <li>Office of the Provost and Vice-President (Academic): Dr. Tammy</li> </ul> |
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| <p><u>Participation Protocol</u>&gt;</p>                            | <p>Hopper, Vice-Provost (Programs) and Andrea Patrick, Acting Portfolio Initiatives Manager</p> <ul style="list-style-type: none"> <li>Office of General Council: Darin McKinley, Legal Counsel. Reviewed agreement and advised on sections pertaining to privacy, data legislation, and confidentiality, June 2018.</li> <li>Information and Privacy Office (IPO): No particular issues needed to be raised with them</li> <li>Insurance and Risk Assessment, Cathy Myles, Director. Reviewed agreement and advised on sections related to insurance, July 2018</li> </ul> |
| <p><b>Approval Route</b> (Governance) (including meeting dates)</p> | <p><u>Those who have been informed:</u></p> <ul style="list-style-type: none"> <li></li> </ul> <ul style="list-style-type: none"> <li>Faculty of Science Council: by delegated authority to the Faculty of Science Chairs Council, September 6, 2018</li> <li>FGSR Council: September 19, 2018</li> <li>GFC Academic Planning Committee: October 10, 2018</li> <li>GFC Executive Committee: October 15, 2018 (for parchment wording)</li> </ul>   |

**Strategic Alignment**

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| <p>Alignment with <i>For the Public Good</i></p>                       | <p><b>Engage</b><br/> <b>GOAL:</b> Engage communities across our campuses, city and region, province, nation and the world to create reciprocal, mutually beneficial learning experiences, research projects, partnerships, and collaborations.<br/> <b>OBJECTIVE 18:</b><br/>         Seek, build, strengthen and sustain partnerships with local, national or international research agencies, governments, government ministries and agencies, universities, Indigenous communities, libraries, not-for profits, industry, business, and community organizations.<br/>         Strategy 3: Encourage municipal, provincial, national, and international collaborations, partnerships, and MOUs at institutional, faculty, department, unit, and individual levels.</p> <p><b>Build</b><br/> <b>GOAL:</b> Build a diverse, inclusive community of exceptional students, faculty and staff from Alberta, Canada, and the world.<br/>         Strategy 3: Optimize our international recruiting strategies to attract well-qualified international students from regions of strategic importance, and enhance services and programs to ensure their academic success and integration into the activities of the university.</p> |
| <p>Alignment with Institutional Risk Indicator [Governance Office]</p> | <p>Enrolment Management<br/>         Student Success<br/>         Reputation</p>  |
| <p>Legislative Compliance and jurisdiction</p>                         | <p>Post-Secondary Learning Act (PSLA)<br/>         GFC Academic Planning Committee (APC) Terms of Reference<br/>         GFC Academic Standards Committee (ASC) Terms of Reference<br/>         UAPPOL Shared Credentials Policy<br/>         UAPPOL Admissions Policy<br/>         UAPPOL Academic Standing Policy<br/>         UAPPOL Degrees Policy – Parchment Procedure</p>  |

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Attachments (each to be numbered 1 - <>)

1. Joint Doctoral agreement, Science and Technical University of Munich, Germany, Calendar change request

*Prepared by:* Janice Hurlburt, Graduate Governance and Policy Coordinator, [jhurlbur@ualberta.ca](mailto:jhurlbur@ualberta.ca)  
Renée Elio, Professor Emeritus, Department of Computing Science, and Special Advisor to the Dean of Science, [renee.elio@ualberta.ca](mailto:renee.elio@ualberta.ca)

## FRAMEWORK AGREEMENT FOR A JOINT DOCTORAL PROGRAM

**BETWEEN** TECHNICAL UNIVERSITY OF MUNICH  
Located in Munich, Germany  
("TUM")

**AND** THE GOVERNORS OF THE UNIVERSITY OF ALBERTA  
AS REPRESENTED BY THE FACULTY OF SCIENCE  
Located in Edmonton, Alberta, Canada  
("UAlberta")

Collectively referred to as the "Parties."

### WHEREAS:

- A. The Parties to this Agreement have entered into a memorandum of understanding ("MoU") that contemplates various forms of academic cooperation; and
- B. The Parties wish to formalize the general terms for an Agreement under which doctoral candidates from either Party may pursue a Joint Doctoral Program.

**NOW THEREFORE** in consideration of the above and other good and valuable consideration, the Parties agree as follows:

### 1. DEFINITIONS

In this Agreement:

- 1.1. "Participating Candidates" mean those doctoral degree candidates who are participating in the Joint Doctoral Program.
- 1.2. "Joint Doctoral Program" means a program of study and research under which a candidate may obtain either a doctoral degree from UAlberta through a doctoral program offered by the Faculty of Science or a doctoral degree from TUM. In each instance, the degree will be granted exclusively by the Home Institution, and the Home Institution will provide formal recognition of the completion of the Joint Doctoral Program through a notation on the transcript and on the parchment. At TUM, the Joint Doctoral Program will be referred to as an "Extended Joint Doctoral Supervision Program".
- 1.3. "Home Institution" means the institution where the candidate was originally admitted to a doctoral degree program in one of the degree programs covered by the Joint Doctoral Program. The "Home Institution" provides the Participating Candidate's main doctoral supervisor.

1.4. "Host Institution" refers to the institution which is not the Participating Candidate's Home Institution and which provides the Participating Candidate's doctoral co-supervisor.

## **2. APPLICATION, SELECTION, AND ADMISSION OF CANDIDATES FOR THE JOINT DOCTORAL PROGRAM**

2.1. Candidates wishing to enter into the Joint Doctoral Program must first be admitted into a doctoral degree program at their Home Institution.

2.2. To be considered for the Joint Doctoral Program, Candidates must present the required application forms and materials to their Home Institution.

2.2.1. Examples of the UAlberta forms are attached as Appendix A.

2.2.2. Examples of the TUM forms are attached as Appendix B.

2.3. If the Home Institution agrees to recommend the candidate, the form will be forwarded to the Host Institution. The application form must be submitted to the Host Institution by the deadline mutually agreed upon in writing by both Parties.

2.4. The Host Institution will determine at its sole discretion, based on its admission requirements, whether to admit the candidate into the Joint Doctoral Program and will inform the Home Institution of its decision.

2.5. Both Institutions agree to select the candidates on the basis of academic merit and/or professional qualifications without regard to race, color, religion, national origin, sex, sexual orientation, age or disability.

2.6. The Participating Candidate must also agree to any additional requirements that the supervisors at the Home and Host Institutions have set, prior to accepting admission into the Joint Doctoral Program.

2.7. While the number of incoming and outgoing Participating Candidates may not be exactly equal every year, both Parties will endeavour to exchange a similar number of Participating Candidates. The expectation of the Parties is that the number of candidates exchanged over the duration of this Agreement will be equal.

## **3. MANAGEMENT OF PARTICIPATING CANDIDATES**

3.1. Participating Candidates must spend a minimum of 6 months and up to 12 months in total registered at the Host Institution under the supervision of the Host Institution co-supervisor. The total duration of the time abroad will be determined by the supervisor and co-supervisor, as part of a plan agreed to by the Participating Candidate.

3.2. Participating Candidates from TUM will be admitted to UAlberta as full-time PhD students with the privileges associated with that status. They will only be registered at UAlberta, and qualify for associated student privileges, when resident in Alberta.

- 3.3. When resident at TUM, Participating Candidates from UAlberta will be enrolled as non-degree doctoral candidates and will be associate members of the TUM Graduate School with access to the TUM Graduate School qualification program.
- 3.4. Participating Candidates will be bound by the degree regulations of the Home Institution and by the rules of conduct and policies of the institution or institutions at which they are currently registered. Where rules of conduct or policies conflict, those of the Host University will prevail when the Participating Candidate is abroad and those of the Home University when the Participating Candidates is at home.
- 3.4.1. In accordance with UAlberta policy, every Participating Candidate must meet UAlberta's ethics and academic integrity training requirements set by the UAlberta Faculty of Graduate Studies and Research. Further information regarding those requirements can be found here: <https://uofa.ualberta.ca/graduate-studies/current-students/academic-requirements/ethics>. Additionally, Participating Candidates must follow all UAlberta policies and procedures relating to research involving either human participants or animals.
- 3.4.2. In accordance with UAlberta policy, Participating Candidates from UAlberta must meet the professional development requirements set by the UAlberta Faculty of Graduate Studies and Research. Further information regarding those requirements can be found here: [www.ualberta.ca/graduate-studies/professional-development/professional-development-requirement](http://www.ualberta.ca/graduate-studies/professional-development/professional-development-requirement).
- 3.4.3. At TUM, the following rules of conduct and principles apply:
- Principles and commitments set by the TUM Diversity Code of Conduct, adopted by the TUM University Council on 16 May 2012 (see Appendix F. Can also be found online here: [www.chancengleichheit.tum.de/en/inclusion/tum-diversity-code-of-conduct/](http://www.chancengleichheit.tum.de/en/inclusion/tum-diversity-code-of-conduct/));
  - Principles and guidelines for preparation and execution of research and business collaboration, set by the TUM Research Code of Conduct, effective as of 1 February 2013 (see Appendix F. Can also be found online here: [http://www.tum.de/fileadmin/w00bfo/www/Wirtschaft/Broschueren\\_Kooperationen/130315\\_TUM\\_CCC\\_Research\\_Code\\_of\\_Conduct\\_en.pdf](http://www.tum.de/fileadmin/w00bfo/www/Wirtschaft/Broschueren_Kooperationen/130315_TUM_CCC_Research_Code_of_Conduct_en.pdf));
  - Principles and requirements set by the TUM Code of Conduct for Safeguarding Good Academic Practice and Procedures in Cases of Academic Misconduct, effective as 15 July 2015 (see Appendix F. Can also be found online here: [http://www.chancengleichheit.tum.de/fileadmin/w00blt/www/Ombudsbuero/TUM\\_Richtlinien\\_zur\\_Sicherung\\_guter\\_wissenschaftlicher\\_Praxis\\_de-eng\\_2015.pdf](http://www.chancengleichheit.tum.de/fileadmin/w00blt/www/Ombudsbuero/TUM_Richtlinien_zur_Sicherung_guter_wissenschaftlicher_Praxis_de-eng_2015.pdf)).
- 3.5. Participating Candidates will be supervised by their co-supervisor at the Host Institution and will have, for the period of the research stay, access to library, laboratory and other resources comparable to the regular/domestic doctoral candidates.

- 3.6. In the event that the co-supervisor is unable to continue his/her role, the Host Institution will make timely alternative arrangements for the candidate's supervision, where possible.
- 3.7. Either Party may, for academic or scientific causes, or for violations of the terms of this agreement, require a Joint Doctoral Candidate to withdraw from the Joint Doctoral Program. If required to withdraw from the Joint Doctoral Program, the candidate will return to their doctoral studies at the Home Institution and will receive appropriate credit for work completed at the Host Institution while in the Joint Doctoral Program.
- 3.8. The Joint Doctoral Program Candidate may withdraw from the Joint Doctoral Program, and return to their doctoral studies at the Home Institution. The candidate will receive appropriate credit for work completed at the Host Institution while in the Joint Doctoral Program. Withdrawal from the Joint Doctoral Program is possible for Participating Candidates from TUM until the first report of the examiners after thesis submission is submitted.
- 3.9. The Parties will provide an adequate orientation as well as ongoing advice and support to the Participating Candidates. At UAlberta, the relevant Faculty will take the lead on assisting Participating Candidates.

#### **4. THESIS DEFENSE AND DOCTORAL DIPLOMA**

- 4.1. After meeting the Joint Doctoral Program requirements (including those outlined in section 2.6), every Participating Candidate must successfully defend the thesis at their Home Institution according to the policies of their Home Institution. Both Parties require the participation of the co-supervisor at the thesis defense.
- 4.2. Costs associated with the thesis defense will be born wholly by the Participating Candidate's Home Institution.
- 4.3. Upon successful completion of the doctoral degree requirements of the Home Institution, any additional requirements outlined in this Agreement, and any other program requirements that were stipulated by the co-supervisors as part of the Joint Doctoral Program and agreed to by the Participating Candidate, the Home Institution will confer on the Participating Candidate the doctoral degree of that Institution. Only the Home Institution will award the doctoral degree.
  - a) The UAlberta transcript notation will read: "Participating in a shared credential program offered jointly by this university and the Technische Universität München."
  - b) The TUM Graduate School transcript notation will read: "This document lists all successfully completed training requirements and courses obtained within the Extended Joint Doctoral Supervision Program between the Technical University of Munich and the University of Alberta."
- 4.4. The UAlberta parchment (The term "parchment" being the equivalent of TUM's term "doctoral diploma") notation will read: "having completed all the statutory requirements of the program offered jointly by the University of Alberta and the Technische Universität

München has been granted the degree of [Official Degree Name] and awarded all the rights and privileges pertaining to this degree”.

- 4.5. The German version of the TUM doctoral diploma notation will read “Die Dissertation wurde unter der gemeinsamen internationalen wissenschaftlichen Betreuung von [title and name supervisor], Technische Universität München, und [title and name co-supervisor], University of Alberta gefertigt.” The English version of the TUM doctoral diploma notation will read “The thesis was prepared under the joint international academic supervision of [title and name supervisor], Technical University of Munich and [title and name co-supervisor], University of Alberta.”
- 4.6. Upon successful completion of the Joint Doctoral Program, the Home Institution shall inform the Host Institution of this award.

## **5. FEES AND FINANCIAL MATTERS**

- 5.1. Participating Candidates will pay to their Home Institution full tuition and all other mandatory and required fees associated with full-time registration in the graduate program to which they have been admitted at the Home Institution during their exchange. Participating Candidates will pay no application or tuition fees at the Host Institution.
- 5.2. Other mandatory or non-instructional fees at the Host Institution may require payment.
- 5.2.1. UAlberta’s non-instructional fees provide health and dental coverage (UAHIP) and a (mandatory) public transportation pass (the “U-Pass”).
- 5.2.2. TUM’s mandatory fees include a payment to the student union for enrolment.
- 5.3. Participating Candidates will be wholly responsible for all costs (including health and travel insurance) associated with the study and research period abroad, though both Parties shall seek to provide funding in the form of e.g. a research assistantship, a teaching assistantship and/or other financial support. Such funding is not guaranteed. In any event, this agreement brings with it no financial obligations for the Parties.

## **6. HOUSING**

Each Host Institution shall endeavour to provide information to candidates regarding housing options, the cost of which shall be paid by the candidate.

## **7. INTELLECTUAL PROPERTY**

- 7.1. All Intellectual Property (“IP”) belonging to or in the control of a Party which may be used and/or disclosed for the purposes of this Agreement shall remain the property of the Party introducing and/or disclosing the same. The Parties agree that the use of such IP shall be limited to performing each Party’s obligation under this Agreement.
- 7.2. Should the research project or activities which the candidate intends to undertake at the Host Institution be subject to legal obligations between the Host Institution and a third party with respect to IP and/or copyright, then it may be necessary for the candidate to

enter into an agreement with the Host Institution so that these legal obligation with the third party are maintained.

- 7.3. Authorship and publication matters will follow the protocol of the Home Institution, although the Participating Candidate will be required to indicate their affiliations with both institutions on any published work.
- 7.4. Notwithstanding anything else in this Agreement, a Participating Candidate shall own the copyright in their thesis.
- 7.5. The following guidelines and policies of the UAlberta related to IP and copyright will apply. These guidelines may be updated and/or amended from time to time by UAlberta:
  - Patent Policy. (See Appendix E. Also available online at <https://policiesonline.ualberta.ca/policiesprocedures/policies/patent-policy.pdf>);
  - Graduate Program Manual. (See Appendix E. Also available online at [www.ualberta.ca/graduate-studies/about/graduate-program-manual](http://www.ualberta.ca/graduate-studies/about/graduate-program-manual)).

## **8. ACCESS TO INFORMATION AND PRIVACY LEGISLATION**

- 8.1. The Parties agree to only use any personal information exchanged for the purposes of this Agreement for the purposes of administering this Joint Doctoral Program, which was the purpose for which the personal data was disclosed.
- 8.2. No personal information related to any Participating Candidate will be released by UAlberta to TUM or by TUM to UAlberta without the candidate's prior written consent, except as permitted by law. Both Parties agree and acknowledge that the consent to the ongoing disclosure of such information by its Participating Candidates will be a condition of their acceptance by the Parties, and their failure to comply with relevant ongoing disclosure requirements will entitle the Parties to terminate their placement under the program.
- 8.3. At UAlberta such consent will be obtained through the Shared Credentials Graduate Program Approval and Consent Form or in such other form as UAlberta may provide from time to time

## **9. CONFIDENTIALITY**

- 9.1. Each Party who receives any information from the other marked "Confidential" or ought to be considered confidential from its nature ("Confidential Information"), will take reasonable steps to protect its confidentiality, will not disclose to any third party such Confidential Information without the prior written consent of the other Party, and will only use such Confidential Information for the purposes contemplated in this Agreement.
- 9.2. The confidentiality obligations under this Agreement shall not apply if and to the extent a Party establishes, as evidenced by documentation that the information communicated



- was generally known prior to disclosure; or
- becomes generally known through no act or omission of the receiving party; or
- was already known to the receiving party prior to disclosure; or
- has been or will be lawfully received from a third party; or
- is developed independently by the party without having had access to the Confidential Information; or
- is disclosed after the disclosing party has waived compliance with the confidentiality obligations in writing; or
- information that is required to be disclosed under any applicable law or by order of a court.

9.3. Unless otherwise expressly stated by the Parties, this obligation of confidentiality will expire two years from termination of the Agreement. The Parties shall ensure that employees and third Parties involved in the Joint Doctoral Program respect the confidentiality obligations hereunder.

9.4. Neither Party warrants that any use or application of the Confidential Information will not infringe upon third party rights or cause other damage. Neither Party will be liable for any damage resulting from infringement of third party rights or other damage

9.5. In order to protect the Confidential Information from unauthorized disclosure or use, Parties shall treat the Confidential Information with the same degree of care as they would use to protect their own information, but in no event less than the usual care exercised in handling confidential matters.

9.6. Liability for infringement of confidentiality obligations and any consequential damage resulting therefrom shall be limited to foreseeable damage. The aforementioned limitation of liability shall not apply in the event of intent or malicious conduct.

## 10. NOTICES

All notices to be given pursuant to this Agreement shall be in writing to the following offices/persons:

### **UAlberta:**

Name: Dr. Renée Elio  
 Position: Associate Dean (International and Graduate Affairs), Faculty of Science  
 Contact: [scigri@ualberta.ca](mailto:scigri@ualberta.ca)  
 Address: Faculty of Science  
 University of Alberta  
 6-189 Centennial Centre for  
 Interdisciplinary Science  
 Edmonton, Alberta T6G 2E9  
 Canada

### **TUM:**

Name: Prof. Dr. Hans-Joachim Bungartz  
 Position: Graduate Dean  
 Contact: [international@gs.tum.de](mailto:international@gs.tum.de)  
 Address: TUM Graduate School  
 Boltzmannstr. 17  
 85748 Garching b. München,  
 Germany

## **11. DISPUTE RESOLUTION**

- 11.1 The Parties shall attempt to resolve any dispute arising under this Agreement amicably. If the Parties are unable to do so: (a) 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 (b) the Parties hereby attorn to the exclusive jurisdiction of the courts of the Free State of Bavaria, Germany 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 TUM as the defendant.
- 11.2 Each Party agrees to continue performing its obligation under this Agreement while any disputes are being resolved unless and until such obligations are terminated by the termination or expiration of this Agreement.

## **12. LIABILITY**

- 12.1 Neither Party, including its directors, employees or contractors, shall be liable to the other Party for any indirect, consequential or economic loss or damages suffered by the other Party, arising from this Agreement.
- 12.2 Each Party shall be solely responsible and liable for the acts and omissions of its respective directors, employees and contractors.

## **13. INSURANCE**

- 13.1 UAlberta shall arrange and maintain general liability insurance, including professional liability insurance and/or malpractice insurance, in an amount of not less than five million (\$5,000,000) dollars per occurrence covering claims brought against UAlberta for bodily injury and property damage caused by any negligent act or omission on the part by UAlberta, their employees, directors, officers, students, volunteers and agents. UAlberta, at TUM's request, shall provide evidence of the coverage provided for in this clause.
- 13.2 For TUM, as a public body belonging to the Free State of Bavaria, applies the principle of self-insurance "Grundsatz der Selbstversicherung". The Free State of Bavaria does not maintain a general liability insurance, but bears the damages that occur. TUM assumes the liability for all TUM employees. However, in the event of intent or gross negligence TUM may hold an employee liable for financial damage suffered by TUM. However, TUM does not assume the liability for non-TUM employees. Participating candidates not employed by the TUM shall provide a proof to the University of Alberta that they have sufficient private liability insurance covers.

## **14. SURVIVAL**

All provisions relating to the nature of the relationship, insurance as per section 13 above, payment, confidentiality, and other obligations and provisions, the performance of which by

their nature extends beyond the termination of this Agreement, shall continue in full force and effect following the effective date of such termination.

## **15. COUNTERPARTS**

This Agreement may be executed in any number of counterparts or duplicates, each of which shall be an original, and such counterparts or duplicates shall together constitute one and the same agreement.

## **16. COMING INTO FORCE, TERMINATION, AND AMENDMENTS**

- 16.1 This Agreement shall come into force and effect from the date on which the last Party endorses the Agreement, and shall continue in effect for a period of five (5) years unless terminated in accordance with the terms of the Agreement (the "Term").
- 16.2 Either Party may terminate the Agreement on twelve (12) months written notice to the other Party. Upon receipt of such notice, no additional candidates will be admitted to the Joint Doctoral Program. Candidates already in the Joint Doctoral Program will be given reasonable time to complete their studies and research.
- 16.3 The Agreement may be amended or extended by the mutual written consent of the Parties.

## **17. GENERAL**

- 17.1 This Agreement, including its Appendices, contains the whole agreement between the Parties and no understandings, representations or agreements, oral or otherwise, exist between the Parties with respect to the subject matter of this Agreement, except as expressly set out in this Agreement.
- 17.2 If any provision of this Agreement is found to be invalid or unenforceable to any extent, the remainder of this Agreement will not be affected or impaired thereby and will remain valid and enforceable to the extent permitted by law.
- 17.3 Nothing in this Agreement shall make the relationship between the Parties one of partnership, joint venture or employment. Nothing in this Agreement constitutes authority for one Party to make commitments which bind the other Party or to otherwise act on behalf of such other Party.
- 17.4 The rights and obligations of the Parties hereunder shall not be assigned or assignable, in whole or in part, by either Party. The terms of this Agreement shall enure to the benefit and be binding upon the successors of each Party.
- 17.5 Neither Party will use, nor shall it permit any person employed by it to use, identifying marks of the other Party, other than with the written consent of such other Party, which may be arbitrarily withheld.

**IN WITNESS WHEREOF** the duly authorized officers of the Parties have executed and delivered this Agreement on the dates indicated below.

Signed for and on behalf of

**THE GOVERNORS OF THE  
UNIVERSITY OF ALBERTA**

the \_\_\_\_ day of \_\_\_\_\_ 2018.

\_\_\_\_\_  
Dr. Steven Dew  
Provost and Vice-President (Academic)

the \_\_\_\_ day of \_\_\_\_\_ 2018.

\_\_\_\_\_  
Dr.  
Interim Dean  
Faculty of Science

the \_\_\_\_ day of \_\_\_\_\_ 2018.

\_\_\_\_\_  
Dr. Deborah Burshtyn  
Vice-Provost and Interim Dean  
Faculty of Graduate Studies and Research

Signed for and on behalf of

**TECHNICAL UNIVERSITY OF MUNICH**

the \_\_\_\_ day of \_\_\_\_\_ 2018.

\_\_\_\_\_  
Prof. Wolfgang A. Hermann  
President

the \_\_\_\_ day of \_\_\_\_\_ 2018.

\_\_\_\_\_  
Prof. Dr. Hans-Joachim Bungartz  
Graduate Dean

## Appendix A UAlberta's Forms

Forms as of the 2017-2018 academic year can be found on the website of UAlberta's Faculty of Graduate Studies and Research (FGSR) here: [www.ualberta.ca/graduate-studies/prospective-students/apply-for-admission/shared-credential-applications](http://www.ualberta.ca/graduate-studies/prospective-students/apply-for-admission/shared-credential-applications).

- Both TUM and UAlberta students would first complete the UAlberta Shared Credential Initial Approval Form and submit it to FGSR.
  - A separate Informed Consent for Disclosure of Personal Information form must also be completed (point-in-time sample follows. Also available online here: [www.ualberta.ca/why-ualberta/administration/information-and-privacy-office/forms---informed-consent-for-disclosure-of-pi](http://www.ualberta.ca/why-ualberta/administration/information-and-privacy-office/forms---informed-consent-for-disclosure-of-pi)). The consent included in the Initial Approval Form need not be completed.
- Once the initial approval to participate in a shared credential program has been made, the following forms, as applicable, must be completed and submitted to FGSR.
  - Incoming students from TUM wishing to attend UAlberta would complete the Shared Credential Application Form (point-in-time sample follows. Also available online here: <https://www.ualberta.ca/graduate-studies/-/media/gradstudies/forms-cabinet/admissions/shared-credential-application-form.pdf>).
  - Outgoing students from UAlberta, for the terms during which they will be attending TUM, would complete the Shared Credential Participation Form (point-in-time sample follows. Also available online here: <https://cloudfront.ualberta.ca/-/media/gradstudies/forms-cabinet/records/registration/shared-credential-participation-form.pdf>).



| <b>A. THIS SECTION TO BE COMPLETED BY THE STUDENT</b>  |  |                                  |                    |
|--|--|----------------------------------|--------------------|
| Last Name  |  | First Name                       |                    |
|  |  |                                  |                    |
| Middle Name  |  |                                  |                    |
|  |  |                                  |                    |
| Shared Credential Agreement  |  |                                  |                    |
| <b>Select agreement</b>  |  |                                  |                    |
| Name of Home Institution   |  | Home Student ID                  | Home Supervisor(s) |
|  |  |                                  |                    |
|  |  | Date began graduate program      |                    |
|  |  |                                  |                    |
| Home Department  |  | Home Degree Program              |                    |
|  |  |                                  |                    |
|  |  | Home Specialization (if any)     |                    |
|  |  |                                  |                    |
| Name of Second Institution   |  | Second Institution Supervisor(s) |                    |
|  |  |                                  |                    |
| Proposed membership of supervisory committee and proposed supervisor(s)                                |  |                                  |                    |
|  |  |                                  |                    |
| Proposed title of project/thesis topic (if known)  |  |                                  |                    |
|  |  |                                  |                    |
| Home Institution courses for meeting the degree requirements at the Second Institution (if applicable) |  |                                  |                    |
|  |  |                                  |                    |
| Second Institution courses for meeting the degree requirements at the Home Institution (if applicable) |  |                                  |                    |
|  |  |                                  |                    |
| Additional courses student will be required to take at Second Institution (if applicable and known)    |  |                                  |                    |
|  |  |                                  |                    |
| Other relevant academic requirements   |  |                                  |                    |
|  |  |                                  |                    |

## INFORMED CONSENT FOR DISCLOSURE OF PERSONAL INFORMATION

The University of Alberta collects and protects personal information under the authority of the Alberta *Freedom of Information and Protection of Privacy Act* for the purposes of operating the programs and services of the University.

Information collected and shared for the purpose of the shared credentials graduate program will also adhere to the laws of the country of the collaborating institution.

Academic information about me, including transcripts, lab reports where applicable, and correspondence and reports regarding academic progress, will be originally collected by the institutions and shared between the institutions for the purpose of administering the shared credentials graduate program.

I, \_\_\_\_\_ voluntarily authorize the above-mentioned sharing of information.

This consent will remain valid for the duration of my participation in the shared credentials graduate program. I understand that consent may be revoked at any time by so indicating in writing to the shared credentials graduate program liaison officers of my Home Institution and the Second Institution.

|   |      |
|---|------|
| Student's Signature (digital or hand-written) | Date |
|---|------|

## B. THIS SECTION TO BE COMPLETED BY THE HOME INSTITUTION

\_\_\_\_\_ is recommended for admission to the shared credentials graduate program.

|                                      |                                     |       |
|--------------------------------------|-------------------------------------|-------|
| Designated Faculty Contact           | Signature (digital or hand-written) | Date  |
| Title                                | Department                          | Email |
| Dean/Graduate Coordinator/Dept Chair | Signature (digital or hand-written) | Date  |
| Home Institution Name                | Faculty/Department                  |       |

## C. THIS SECTION TO BE COMPLETED BY THE SECOND INSTITUTION

Admission of \_\_\_\_\_ to the shared credentials graduate program  Granted  
 Denied

|                                      |                                     |       |
|--------------------------------------|-------------------------------------|-------|
| Designated Faculty Contact           | Signature (digital or hand-written) | Date  |
| Title                                | Department                          | Email |
| Dean/Graduate Coordinator/Dept Chair | Signature (digital or hand-written) | Date  |
| Home Institution Name                | Faculty/Department                  |       |

### Protection of Privacy:

The personal information requested on this form is collected under the authority of the applicable privacy or data protection legislation and will be protected under the applicable act. It will be used for the purpose of administering the Joint or Dual Degree Program between the above named institutions.



## INFORMED CONSENT FOR DISCLOSURE OF PERSONAL INFORMATION

The University of Alberta collects and protects personal information under the authority of the Alberta *Freedom of Information and Protection of Privacy Act* for the purpose of operating the programs and services of the university.

If you require the disclosure of your personal information to another person, designated agent or agency, legal counsel or other purposes, please complete the following informed consent document as required under the Act.

|                                |   |
|--------------------------------|---|
| <b>I voluntarily authorize</b> |   |
|                                | Individual / Office / Program   |
| <b>to disclose</b>             |   |
|                                | State precise personal information to be released; attach a separate sheet if necessary |
| <b>date range</b>              |   |
|                                | Date range within the records were created  |
| <b>releasing to</b>            |   |
|                                | Identify specific individual, organization or recipient category                        |
| <b>for the purpose of</b>      |   |
|                                | State specific purpose of this information release                                      |
| <b>in the period</b>           |   |
|                                | Provide date range for which permission will exist                                      |

|                       |  |
|-----------------------|--|
| <b>Full Name:</b>     |  |
| <b>Date of Birth:</b> |  |
| <b>Student ID#:</b>   |  |
| <b>Date:</b>          |  |

Signature: \_\_\_\_\_

**NOTE:** Consents may be revoked at any time by so indicating, in writing, to the office seeking consent.

**Protection of Privacy** – The personal information requested on this form is collected under the authority of Section 33(c) of the Alberta *Freedom of Information and Protection of Privacy Act* and will be protected under Part 2 of that Act. It will be used for the purpose of managing photographs of you. Questions concerning the collection, use and disposal of this information should be directed to: [contact position, full address, and business telephone number].

This information will be retained and disposed in accordance with approved records retention and disposal schedules of the university.





KILLAM CENTRE FOR ADVANCED STUDIES  
 2-29 TRIFFO HALL

Phone: 780.492.3499 Fax: 780.492.0692  
<http://uofa.ualberta.ca/graduate-studies/>

|  |  |   |                                 |                            |  |
|--|--|---|---------------------------------|----------------------------|--|
| Last Name  |  | First Name  |                                 | Middle Name                |  |
| Mailing Address  |  |   | Date of Birth                   |                            | <input type="radio"/> Male<br><input type="radio"/> Female                     |
| E-mail Address   |  |   | Phone Number                    |                            | Country of Citizenship<br>Citizenship Status in Canada<br><b>Select status</b> |
| Shared Credential Agreement  |  |   | Length of stay at UofA          |                            |  |
| <b>Select agreement</b>  |  |   | <b>Select length</b>            |                            |  |
| Name of Home Institution   |  |   | Home Institution Degree Program |                            |  |
| UofA Host department   |  | Have you ever applied for admission or registered in courses at the University of Alberta? <input type="radio"/> Yes <input type="radio"/> No If yes, enter U of A student ID |                                 |                            |  |
| <b>Select Department</b>   |  |   |                                 |                            |  |
| Degree Program   |  | Specialization (if any)   |                                 | Proposed start term & Year |  |
|  |  |   |                                 | <b>Select term</b>         |  |
| Applicant's Signature (digital or hand-written)<br><b>*By signing this form, I agree that all information provided is true and complete.</b> |  |   |                                 |                            | Date   |
| Note to applicant: Please save & send this application form by email to the U of A host department when completed.                           |  |   |                                 |                            |  |

|   |                                     |      |
|---|-------------------------------------|------|
| <b>Home Institution use only:</b><br><b>*By signing this form, I approve the admission of this application.</b> |                                     |      |
| Name of Department/Graduate Program approval  | Signature (digital or hand-written) | Date |
|   |                                     |      |

|   |                                     |                     |      |
|---|-------------------------------------|---------------------|------|
| <b>UofA host department use only:</b><br><b>*By signing this form, I approve the admission of this application.</b> |                                     |                     |      |
| Department  |                                     |                     |      |
| <b>Select Department</b>  |                                     |                     |      |
| Degree Program  | Specialization (if any)             | Proposed start term | Year |
|   |                                     | <b>Select term</b>  |      |
| Name of Graduate Coordinator/ Dept Chair  | Signature (digital or hand-written) | Date                |      |
|   |                                     |                     |      |
| Note to department: Forward signed application form to Faculty of Graduate Studies and Research.                    |                                     |                     |      |

Personal information on this form is collected under the authority of Section 33(c) of Alberta's *Freedom of Information and Protection of Privacy Act* for authorized purposes including admission and registration, administration of records, scholarships and awards, student services, and university planning and research. Students' personal information may be disclosed to academic and administrative units according to university policy, federal and provincial reporting requirements, data sharing agreements with student governance associations, and to contracted or public health care providers as required. For details on the use and disclosure of this information call the Faculty of Graduate Studies and Research at 780-492-3499 or see <http://www.ipa.ualberta.ca/>

|   |              |                 |                   |
|---|--------------|-----------------|-------------------|
| <b>Faculty of Graduate Studies and Research use only:</b> |              |                 |                   |
| Student ID: _____   | App #: _____ | Approval: _____ | Date Coded: _____ |



KILLAM CENTRE FOR ADVANCED STUDIES  
 2-29 TRIFFO HALL

Phone: 780.492.3499 Fax: 780.492.0692  
<http://uofa.ualberta.ca/graduate-studies/>

|   |                           |
|---|---------------------------|
| Student ID  | Last Name, First Name     |
| Shared Credential Agreement<br><b>Select agreement</b>  |                           |
| Name of Host Institution  |                           |
| Year  | Term & Course to be taken |
|   | Select                    |
|   | Select                    |
|   | Select                    |
|   | Select                    |
|   | Select                    |
| Student's Signature (digital or hand-written) <span style="float:right;">Date</span><br><b>*By signing this form, I agree that all information provided is true and complete.</b> |                           |

|   |                                     |      |
|---|-------------------------------------|------|
| <b>U of A Department Participation Approval:</b><br><b>*By signing this form, I approve the participation of this student in the shared credential program.</b> |                                     |      |
| Name of Supervisor  | Signature (digital or hand-written) | Date |
|   |                                     |      |
| Name of Graduate Coordinator/ Dept Chair  | Signature (digital or hand-written) | Date |
|   |                                     |      |

Personal information on this form is collected under the authority of Section 33(c) of Alberta's *Freedom of Information and Protection of Privacy Act* for authorized purposes including admission and registration, administration of records, scholarships and awards, student services, and university planning and research. Students' personal information may be disclosed to academic and administrative units according to university policy, federal and provincial reporting requirements, data sharing agreements with student governance associations, and to contracted or public health care providers as required. For details on the use and disclosure of this information call the Faculty of Graduate Studies and Research at 780-492-3499 or see <http://www.ipa.ualberta.ca/>

|   |                                 |  |  |
|---|---------------------------------|--|--|
| <b>Faculty of Graduate Studies and Research use only:</b> |                                 |  |  |
| <input type="checkbox"/> Registration & Location          | <input type="checkbox"/> Plan 2 | <input type="checkbox"/> Transcript text | <input type="checkbox"/> Study Agreement |
|   |                                 |  | Signature & Date                         |

**Appendix B  
TUM's Forms**

**Appendix C**  
**UAlberta Sample Parchment and Transcript**

The documents directly following this page and prior to Appendix D are a sample parchment and transcript a Participating Candidate from UAlberta would receive from UAlberta.

# UNIVERSITY OF ALBERTA

*Certifies by this document to all whom it may concern that*

STUDENT NAME

*having completed all the statutory requirements of the program offered jointly by  
the University of Alberta and the Technische Universität München has been granted the degree of*

DOCTOR OF PHILOSOPHY

in Chemistry

*and awarded all the rights and privileges pertaining to this degree.*

*Given at this university on the seventeenth day of November, two thousand and ten  
in the one hundred and fourth year of the University of Alberta.*

CHANCELLOR

COAT OF  
ARMS

PRESIDENT

CHAIR OF THE BOARD

REGISTRAR

# UNIVERSITY OF ALBERTA

*Certifies by this document to all whom it may concern that*

STUDENT NAME

*having completed all the statutory requirements of the program offered jointly by the University of Alberta and the Technische Universität München has been granted the degree of*

## DOCTOR OF PHILOSOPHY

in Applied Mathematics

Department of Mathematical and Statistical Sciences

*and awarded all the rights and privileges pertaining to this degree.*

*Given at this university on the seventeenth day of November, two thousand and ten in the one hundred and fourth year of the University of Alberta.*

CHANCELLOR

PRESIDENT

COAT OF  
ARMS

CHAIR OF THE BOARD

REGISTRAR

**Appendix D**  
**TUM Sample Parchment and Transcript**



Technische Universität München

## Erläuterungen

Das Gesamtprädikat der Promotion lautet

„mit Auszeichnung bestanden (summa cum laude)“

oder

„mit Erfolg bestanden“

## Explanation

The designations for the overall grade gained in the doctoral degree are as follows:

“passed with highest distinction (summa cum laude)”

or

“passed”.





Technische Universität München

# PROMOTIONSURKUNDE

---

DOCTORAL DIPLOMA

DRAFT

# DOCTORAL DIPLOMA

Upon nomination of the TUM Department of Muster  
the Technical University of Munich confers upon

Mr. <academic title>

**MAX MUSTERMANN**

<academic title>

born 1 January 1980 in Berlin

the degree of

**DOKTOR DER NATURWISSENSCHAFTEN  
(DR. RER. NAT.),**

on completion of the thesis

"thesis topic  
thesis topic"

and after demonstrating his scientific abilities by passing  
the viva voce with the grade

**PASSED.**

The thesis was prepared under the joint international academic supervision of Prof. Dr. rer. nat.  
Manuela Musterfrau, Technical University of Munich, and Prof XXXX, University of XXX.

München, 8 December 2010

(signed by)

Prof. Dr. Dr. h.c. mult. Wolfgang A. Herrmann  
President



(signed by)

Prof. Dr. MUSTER MUSTER  
Dean

# PROMOTIONSURKUNDE

Die Technische Universität München verleiht auf Beschluss  
der Fakultät für Muster

Herrn <akademischer Grad>

**MAX MUSTERMANN**

<akademischer Grad>

geboren am 1. Januar 1980 in Berlin

den akademischen Grad

**DOKTOR DER NATURWISSENSCHAFTEN**

**(DR. RER. NAT.),**

nachdem er durch die Dissertation

„Thema der Dissertation

Thema der Dissertation“

und durch die mündliche Prüfung seine wissenschaftliche Befähigung nachgewiesen hat,  
mit dem Prädikat

**MIT ERFOLG BESTANDEN.**

Die Dissertation wurde unter der gemeinsamen internationalen wissenschaftlichen Betreuung von  
Prof. Dr. rer. nat. Manuela Musterfrau, Technische Universität München, und Prof. XXXXX,  
University of XXX gefertigt.

München, 8. Dezember 2010

Prof. Dr. Dr. h.c. mult. Wolfgang A. Herrmann  
Präsident

Prof. Dr. Muster Muster  
Dekan

## TUM Graduate School Transcript of Records

The TUM Graduate School enhances the excellent scientific training of doctorates at the Technische Universität München with key qualifications, designed to prepare doctoral candidates for the level of responsibility found in research and the industry. Through the targeted development and promotion of interdisciplinary and international networks, the TUM Graduate School provides its members with subject related and transferable skills training and expertise, living up to the highest of demands within doctoral education.

This document lists all successfully completed training requirements and courses.

Name:

██████████

Supervisor(s):

**Prof. Dr.-Ing. Andreas Kremling**

**Prof. Dr. Sonja Berensmeier**

Date of Birth:

██████████

Chair:

**Fachgebiet für Systembiotechnologie**

Place of Birth:

**Hadamar  
Germany**

Graduate Center:

**Faculty Graduate Center Mechanical  
Engineering**

Last Degree before Doctorate:

**Master of Science in Mathematik**

Date of Thesis Defense:

**13 October 2016**

### Scientific Competencies

| Course Name                         | Organizer                                      | Start Date | End Date   | Duration in hours |
|-------------------------------------|--|------------|------------|-------------------|
| Seminar Bioverfahrenstechnik        | Lehrstuhl für Bioverfahrenstechnik             | 19.10.2012 | 12.08.2016 | 160               |
| A Short Course on Estimation Theory | TUM Fakultäts-Graduierenzentrum Maschinenwesen | 18.07.2013 | 22.07.2013 | 18                |

### Professional Competencies

| Course Name                                       | Organizer                                      | Start Date | End Date   | Duration in hours |
|---|--|------------|------------|-------------------|
| Grant and Proposal Writing                        | TUM Sprachenzentrum                            | 12.03.2013 | 12.03.2013 | 4                 |
| Auftaktseminar                                    | TUM Graduate School                            | 22.04.2013 | 25.04.2013 | 14                |
| Communicating Effectively in Difficult Situations | TUM Graduate School                            | 23.04.2013 | 25.04.2013 | 16                |
| Wissenschaftliches Publizieren für Ingenieure     | TUM Fakultäts-Graduierenzentrum Maschinenwesen | 03.05.2013 | 03.05.2013 | 8                 |

### International Experience

| Content   | Institution | Country | Start Date | End Date   | Duration in days |
|---|-------------|---------|------------|------------|------------------|
| Conference Frontiers in Systems and Synthetic Biology 2013      | Atlanta     | USA     | 19.03.2013 | 27.03.2013 | 9                |
| Forschungsaufenthalt  | Davis       | USA     | 01.02.2014 | 31.05.2014 | 120              |
| International Symposium on Synthetic Systems Biology (BST 2015) | Fukuoka     | Japan   | 12.09.2015 | 18.09.2015 | 7                |

## Publications

| Author(s)  | Title   | Reference  |
|--|---|------------|
| [REDACTED]<br>[REDACTED]<br>[REDACTED]<br>[REDACTED] | Design Principles as a Guide for Constraint Based and Dynamic Modeling: Towards an Integrative Workflow | 16.10.2015 |

## Teaching Experience

| Title / Subject                       | Institution / Faculty | Country     | Start Date | End Date   | Duration in hours |
|---------------------------------------|-----------------------|-------------|------------|------------|-------------------|
| Angewandte Ingenieursmathematik Übung | Maschinenwesen        | Deutschland | 14.10.2015 | 27.01.2015 | 28                |

12 January 2017

Date

Professor Dr. phil. Klaus Bengler  
Speaker of Graduate Center



Technische Universität München

## Erläuterungen

Das Gesamtprädikat der Promotion lautet

„mit Auszeichnung bestanden (summa cum laude)“

oder

„mit Erfolg bestanden“

## Explanation

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“passed with highest distinction (summa cum laude)”

or

“passed”.



Technische Universität München

# PROMOTIONSURKUNDE

---

DOCTORAL DIPLOMA

DRAFT



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Mr. <academic title>

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on completion of the thesis

“thesis topic

thesis topic”

and after demonstrating his scientific abilities by passing  
the viva voce with the grade

**PASSED.**

The thesis was prepared under the joint international academic supervision of Prof. Dr. rer. nat.  
Manuela Musterfrau, Technical University of Munich, and Prof XXXX, University of Alberta.

München, 8 December 2010

(signed by)

Prof. Dr. Dr. h.c. mult. Wolfgang A. Herrmann  
President



(signed by)

Prof. Dr. MUSTER MUSTER  
Dean

# PROMOTIONSURKUNDE

Die Technische Universität München verleiht auf Beschluss  
der Fakultät für Muster

Herrn <akademischer Grad>

**MAX MUSTERMANN**

<akademischer Grad>

geboren am 1. Januar 1980 in Berlin

den akademischen Grad

**DOKTOR DER NATURWISSENSCHAFTEN  
(DR. RER. NAT.),**

nachdem er durch die Dissertation

„Thema der Dissertation

Thema der Dissertation“

und durch die mündliche Prüfung seine wissenschaftliche Befähigung nachgewiesen hat,  
mit dem Prädikat

**MIT ERFOLG BESTANDEN.**

Die Dissertation wurde unter der gemeinsamen internationalen wissenschaftlichen Betreuung von  
Prof. Dr. rer. nat. Manuela Musterfrau, Technische Universität München, und Prof. XXXXX,  
University of Alberta gefertigt.

München, 8. Dezember 2010

Prof. Dr. Dr. h.c. mult. Wolfgang A. Herrmann  
Präsident

Prof. Dr. Muster Muster  
Dekan

**Appendix E**  
**Point-in-time copies of specific UAlberta policies referenced in the**  
***Agreement for a Joint Doctoral Degree Program between TUM and UAlberta***

1. Academic Integrity and Ethics Training Requirement
2. Professional Development Requirement
3. Patent Policy
4. Graduate Program Manual

---

## Faculty of Graduate Studies and Research

### Academic Requirements

#### Academic Integrity and Ethics Training Requirement

Academic integrity and ethics training is mandatory for all newly-admitted UAlberta graduate students who started their degree program on or after September 1, 2004.

Each student is normally expected to complete the equivalent of at least eight (8) hours of structured academic activity to meet this requirement.

Departments offer this ethics training requirement in one of two ways:

1. **GET (Graduate Ethics Training)**

A web-based course offered by the Faculty of Graduate Studies and Research (equivalent to five hours of training); **and/or**

2. **Department-based** workshops, seminars, tutorials, etc.

Contact your department to find out how this requirement is being met in your area of research.

---

#### Graduate Ethics Training (GET) Course

The (GET) Program is a course developed by the Faculty of Graduate Studies and Research. The course focuses on a number of ethical issues in the academic environment including:

- Conflict of Interest
- Conflict Resolution
- Intellectual Property
- Integrity and Scholarship
- Graduate Student-Supervisor Relationships

Be sure to contact your department before accessing the GET Course. Your department may be using other courses/workshops etc. to meet the ethics training requirement.

**Note:** This online course does not supercede existing ethics policies and procedures at the University of Alberta. If you are uncertain how this course fits in with the ethics training requirements of your department or faculty, contact your department.

## How to Access the GET Course

Your first step is to self register in the GET Course using your Campus Computing ID (CCID) and password. Once you've self-registered, the GET Course will appear in your listing of courses in eClass.

- ▶ [Self-register for the GET Course](#)
- ▶ [Login to eClass](#)

What are your thoughts about the GET Course? Give us your feedback at [ethics@ualberta.ca](mailto:ethics@ualberta.ca)

---

## Academic Integrity and Ethics Resources

See our [additional resources](#) for more opportunities for you to receive ethics training. **Please Note:** A discussion with the Graduate Contact/Coordinator from your respective department/faculty is required if ethics credit is being pursued. All options are not accepted by all departments/faculties.

---

## Academic Integrity and Ethics Completion

Effective March 2009, departments no longer submit a Completion of Academic Integrity and Ethics Component form for students. Instead, completion of the ethics component is verified on the appropriate program completion form at the end of a student's program. Please see our [Convocation page](#) for further details.

## Faculty of Graduate Studies and Research

### Professional Development Requirement

After consultation with the Graduate Students' Association and consideration of economic job trends, the University of Alberta is the first Canadian university to implement the Professional Development (PD) Requirement (following some of the Ivy League colleges in the United States).

It's an exciting new initiative to help you recognize your talents, pursue your interests, learn professional skills and make the connections that will help you excel in your chosen field. Although it is mandatory for all incoming graduate students, some departments have professional development already incorporated into their programs and are exempt from this requirement.

The University of Alberta Professional Development Requirement includes an individualized career plan document called an Individual Development Plan (IDP) and the completion of eight hours of professional development activities inspired by your career plan. The steps are as follows:

# The ABCS of the PD Requirement



### Access the IDP workbook

- Download one of two Individual Development Plan (IDP) workbooks (IDP or IDP Pro for graduate students returning to school after years of professional experience).
- If you would like guidance please attend an Individual Development Plan (IDP) information session.

# B

## Be specific

This is about your career so it will be as individual as you are and your field of study. Please talk to your supervisor about your department's professional development specifics.

# C

## Complete your IDP

For guidance attend an IDP workshop (Parts 2 & 3) or an IDP Online Workshop (Part 2).

# D

## Deadlines

To help you take advantage of internships and other great professional opportunities available on campus your IDP must be finalized and reviewed by your supervisor or career mentor:

- Within 12 months of your program's commencement for full-time master's students
- Within 24 months of your program's commencement for part-time master's students
- Within 18 months of your program's commencement for full-time doctoral students
- Within 36 months of your program's commencement for part-time doctoral students

# E

## Eight hours of PD activities

Find, participate and log the eight hours of PD activities that interest you, proposed or inspired by your IDP and approved by your supervisor and department. To help you navigate the many professional development opportunities available to you, we have compiled a PD Opportunities guide.

# F

## Forms

There are a few different ways to log your PD hours. When both your IDP and eight hours of PD activity are finished, complete and submit the Professional Development Requirement form:

- At time of degree completion for master's students
- Within the first three years for almost all doctoral students



## Goal setting - use your IDP

IDPs are used by professionals to help them achieve their life goals. Your IDP is your career plan, and we recommend reviewing it with your supervisor or career mentor annually. It can be used as a "living" document for you to update regularly as you grow and develop your skills and academic and non-academic career goals.



Approval Date: June 22, 2007

## Patent Policy

|   |   |
|---|---|
| <b>Office of Accountability:</b>                | Vice-President (Research)   |
| <b>Office of Administrative Responsibility:</b> | Vice-President (Research)   |
| <b>Approver:</b>                                | Board of Governors  |
| <b>Scope:</b>                                   | Compliance with this University-wide policy extends to all members of the University community. |

### Overview

The broad mandate of the University of Alberta is to create, preserve and disseminate knowledge for the benefit of all Canadians. The creation of knowledge results from bringing together the intellectual and creative resources of the faculty, researchers, students, staff and other members of the University Community.

Those who are part of the University community are the beneficiaries of public resources and share in the commitment of the University to effectively disseminate this knowledge to society.

As such, the transfer and **Commercialization** of new **Patentable Intellectual Property (PIP)** is important. The efficient protection, commercialization and capitalization of PIP are important elements in maintaining the University's reputation as a leading centre of research and in the University's ability to attract the brightest and the best minds.

The successful commercialization of PIP must be the result of effective collaboration between the University and the **Inventors** or creators in a partnership that draws on and recognizes the unique contributions that each party makes to the process.

This policy is therefore intended to encourage, but not compel, Inventors to patent PIP and to provide a mechanism for the transfer and commercialization of the PIP that rewards the Inventor and protects the rights of the University.

### Purpose

- Identify the University of Alberta's commitment to ensuring that PIP that is intended to be exploited shall be disclosed to the University in a timely manner.
- Identify University of Alberta policy on the ownership, responsibility for Commercialization, and division of **Net Revenue** generated by the PIP.

### POLICY

#### 1. Application

This policy shall apply to all PIP created by all members of the University within their areas of research at the University, including faculty, researchers, staff and students whether registered for credit or not.

#### 2. PIP Created at the University

There shall be a rebuttable presumption that when PIP has been created by members of the University community and within their area of research, it was created at the University even though some or all of the activity may have actually taken place elsewhere, unless there is a specific written agreement with the University to the contrary.

#### 3. Ownership

Ownership of PIP created at the University shall reside with the person or persons who created it, unless there is a specific written agreement with the University to the contrary.

#### 4. Timely Disclosure and Availability

Full and timely disclosure of PIP to the University must occur at, or prior to, the point that the Inventor expresses an intent to explore Commercialization or pursues any activity to patent.

#### 5. Commercialization

a. Decisions regarding Commercialization of PIP shall be made with the consent of all its Inventors and the University. If any Inventor or the University does not consent, that decision shall be made through arbitration, with due regard to any ethical, moral, or religious objections of any Inventor and the University.

b. The party that undertakes Commercialization, either the University or the Inventor, has a fiduciary obligation to all the interested parties.

#### 6. Commercialization by the University

a. Where there is more than one Inventor the University will have the option to undertake Commercialization only in those cases where:

i. The Inventors unanimously agree that they wish the University to undertake Commercialization; or

ii. There is disagreement among the Inventors as to whether to pursue Commercialization, or as to how the Commercialization process is to proceed; or

iii. The University is not satisfied that all Inventors have been fully informed and are willing participants in the decision to pursue Commercialization or not.

b. In the case where the University undertakes Commercialization, ownership shall be assigned to the University to manage the process.

#### 7. Commercialization by the Inventor

a. The Inventor, subject to the conditions in Clause 6, may elect to undertake the Commercialization process.

b. In the event that the Inventor elects to undertake the Commercialization process, the University will have the right to either approve or prevent the first transaction by which the rights to the PIP are affected.

c. The University will have the right to either approve or prevent any subsequent transactions by which the rights to the PIP are affected where any party directly or indirectly involved is not at arm's length to the Inventor.

d. University approval or prevention of transactions shall not be unreasonably withheld or exercised.

#### 8. Priority of Funds to Secure Legal Protection

Funds advanced by a party to secure legal protection of PIP shall have priority for return to the party who advanced the funds.

#### 9. Division of Net Revenue

a. One third (1/3) of Net Revenue generated by PIP shall go to the Inventor.

- b. One third (1/3) of Net Revenue generated by PIP shall go to the University, one third (1/3) of which will be used to support research in the Faculty/Department where the research took place.
- c. One third (1/3) of Net Revenue generated by PIP shall be committed to the Commercialization process.

#### 10. Variation

Where the University believes that such agreements are in the best overall interests of the University and the Inventor, certain contracts, grants, sponsorships and research agreements which have been or will be entered into by the University, on its behalf or on behalf of certain of its members, with industrial companies, government agencies and other bodies, may contain provisions, whereby all PIP are licensed to such companies, agencies and other bodies or assigned to the University and licensed to such companies, agencies or other bodies, and may contain provisions which are at variance with the provisions of this Policy. The provisions of such contracts, grants, sponsorships and research agreements shall supersede the other provisions of this Policy. The University retains the right to enter into such agreements, and requires that University members comply with such provisions in contracts, grants, sponsorships, or research agreements.

#### 11. Education and Research Use

The University has a non-transferable royalty-free license to use all PIP created at the University for non-commercial education and research purposes.

#### 12. Policy Review

Patent Policy and related Procedures shall be reviewed every five (5) years.

#### 13. Application of Conflicts and Ethics Policy

- a. Conflicts of interest will be managed when they cannot be avoided. The University Conflict of Interest/Commitment Policy will govern management of conflicts.
- b. Questions with respect to ethical issues will be resolved by reference to the Ethics Review process of the University.

#### 14. Delegation

The Vice-President (Research), or designates shall have the authority over the implementation and administration of this policy.

#### 15. Non-Compliance

Failure to comply with this policy shall be handled according to the respective Collective Agreements, but the University or Inventor shall also have a right of action against the non-compliant party.

#### 16. Arbitration

Any disputes shall be decided under the *Arbitration Act*, R.S.A. 2000, c. A-43, as updated from time to time. Issues that may be decided by Arbitration shall include, but shall not be limited to, the reasonableness or appropriateness of any judgment or exercise of discretion by the University, including the exercise of such judgment as it relates to non-members of the University community.

### **DEFINITIONS**

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

|                          |   |
|--------------------------|---|
| <b>Commercialization</b> | Means the transfer or the commercialization or any combination of |
|--------------------------|---|

|   |  |
|---|--|
|   | transfer and commercialization undertaken by a person with respect to PIP.   |
| <b>Patentable Intellectual Property</b> | Includes patents; patentable ideas, including but not limited to plant cultivars, germ plasm, and computer software that is capable of being legally protected by patent, whether in Canada or elsewhere. This Policy does not apply to copyrights on work published or unpublished.   |
| <b>Inventor</b>                         | Means the creator or creators of Patentable Intellectual Property.   |
| <b>Net Revenue</b>                      | Means all consideration received by the Inventor or the University from third parties, from the sale or licensing of PIP, less the out-of-pocket costs paid by that party for obtaining the patent and granting, performing and enforcing any assignment or licensing of PIP. Any consideration not received in cash shall be valued by agreement between the University and the Inventor, failing which the value shall be determined by arbitration. |

### **RELATED LINKS**

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

[Canadian Intellectual Property Office \(Government of Canada\)](#)

[Patent Act, R.S.C. 1985, c. P-4 \(Department of Justice\)](#)

### **PUBLISHED PROCEDURES OF THIS POLICY**

[Commercialization of Patentable Intellectual Property Procedure](#)

[Declaring Best Interests of Inventor \(Section 10 Variation of Patent Policy\) Procedure](#)

**Appendix F**  
**Point-in-time copies of specific TUM policies referenced in the**  
***Agreement for a Joint Doctoral Degree Program between TUM and UAlberta***

1. Diversity Code of Conduct
2. Research Code of Conduct
3. Code of Conduct for Safeguarding Good Academic Practice and Procedures in Cases of Academic Misconduct

# TUM Diversity Code of Conduct\*)

The Technische Universität München (hereinafter: TUM) adopts the following Code of Conduct as the basis of its diversity policies:

## Preamble<sup>1</sup>

The Technische Universität München (TUM) values the diversity and variety of individual talents as a central element of its institutional identity. We actively support equality between men and women and are committed to the goal of becoming the most attractive technical university in Germany for women. As a family-friendly university, we make long-term investments to enable our students and employees to unite family life with study and career. The TUM family thrives on mutual support and networking among its members across disciplinary, national and generational boundaries. We understand internationality as the connection of our home to the world at large. As part of our commitment to the values of an enlightened society recognizing human rights and fundamental freedoms, we respect the cultural identities of people from other parts of the world.

The principles of equality and diversity are anchored in this TUM Diversity Code of Conduct. Its aim is to render the personnel and structural measures toward equality between the sexes, family friendliness and diversity transparent, continuous, competitive and future-oriented, as well as feasible in the long term. Achieving this goal requires the transformation not only of organizational structures but of academic culture, as well. Gender and diversity research constitutes the essential basis of equality and is supported by the TUM. Promoting the diversity of personalities at the TUM, as well as their different career paths and ways of life requires targeted, individualized gender and diversity management.

## I. Participation and Representation of Interests

The TUM aims to achieve a balanced relationship of the sexes on its central and departmental committees. In addition to the advancement of women and the expansion of family-friendly structures, our commitment to diversity and equality in accordance with the legislation on anti-discrimination and the German General Equal Treatment Act (AGG) includes respect for ethnic origin, gender, religion and beliefs, disability, age, and sexual identity. Action is taken at all levels against discrimination and gender stereotyping. Members of the TUM academic community are to be made aware of equality issues; diversity competence is to be enhanced.

## II. Information and Communication

The TUM undertakes to ensure gender equality in language and in the wording of fundamental documents (regulations, articles, employment contracts), in publicity work, marketing and internal communications. Images are to illustrate the diversity at the TUM in order to reduce stereotypes and prejudices in this respect, as well.

In order to provide information to persons from foreign countries, the relevant documents and the internet site will also be made available in the English language. Media representation will have an international approach.

### **III. Research**

The perspectives of equality and diversity constitute criteria for financial support provided to research. This applies especially to the internal grant of scholarships (based on achievement) or research funds and to the release from duties for research purposes. The TUM supports project-related equality concepts where external funding is requested.

### **IV. Teaching**

Degree programs offered at the TUM are developed in accordance with diversity requirements with regard to both teaching methodology and the content of instruction.

The TUM endeavors to render teaching contents and materials as well as tests accessible and comprehensible to students with disabilities and to students from foreign countries.

The TUM supports its teaching staff through continuing education programs, such as TUM ProLehre, and by conducting evaluations.

### **V. Conditions of Work and Research**

The TUM's organizational structures foster a viable work-life balance for its students and employees. The TUM supports flexible working hours, a positive working environment and workplace and academic conduct in a spirit of respect and cooperation. Within a framework of achievement criteria, the TUM aims at long-term employment relationships in academic research, teaching and administration. Managerial staff seeks to ensure work and research conditions compatible to the greatest possible extent with various lifestyles and career paths within an academic environment and to eliminate discrimination and harassment. Disadvantaged groups of people and persons with disabilities are supported through positive action.

### **VI. Study Conditions**

Studying conditions at the TUM are developed in accordance with diversity requirements. This concerns study regulations, as well as the provision of information, advisory, and tutoring programs at the university and departmental levels. The TUM provides options for flexible study.

The TUM takes measures to achieve a well-balanced gender ratio in all of its degree programs. These include advancement and advising programs in cooperation with secondary schools (including student research centers,

cooperation projects between the TUM and secondary schools designed for upper class students).

## **VII. Staff Development and Recruitment**

The TUM endeavors to ensure equality-oriented recruitment and personnel development. The TUM ensures active recruiting and a transparent structure of appointment and promotion procedures based on respect and achievement, in conjunction with comprehensive monitoring. The development of a management culture based on the principles and requirements of diversity represents a central aim of personnel development. The TUM actively seeks to achieve objectives relating to gender equality and family friendliness at both institutional and departmental levels.

## **VIII. Finance and Resource Management**

The TUM integrates gender and diversity equality into its resource management. The TUM ensures equality in budgeting matters. The TUM ensures equal opportunity within salary structures (including classification in salary groups, performance-based supplements).

## **IX. Family Friendliness**

The TUM promotes and supports a family-friendly working and studying environment. The TUM offers its members regular and flexible child care, supports dual career pairs and promotes a family-friendly academic culture. Particular support is provided to academic and administrative staff caring for children, as well as those caring for infirm or disabled family members. Cases of hardship take precedence.

## **X. Organization and Quality Management**

The TUM anchors its diversity and quality management in the TUM Board of Management through the positions of Senior Vice President "Talent and Diversity Management" and Vice President "Quality Management." The objective of this managerial structure is to provide impetus for the further development of measures to fulfill the mandates of equal opportunity, which are viewed by the TUM as a societal and institutional obligation. These include the gathering of organizational statistics, as well as comprehensive monitoring and evaluations. Human and financial resources ensure long-term support for the institutionalization of equality and its quality development.

## **XI. Entry Into Force**

This TUM Diversity Code of Conduct enters into force by way of a resolution adopted by the University Council on 16 May 2012.

\* The TUM Diversity Code of Conduct was developed on the basis of the Gender Codex of the University of Konstanz.

<sup>1</sup> Developed on the basis of the TUM Mission Statement



## Stabsstelle Chancengleichheit

Technical University of Munich

Barer Straße 21

80333 München

Contact



Technische Universität München

# TUM Research Code of Conduct

## TUM Research Code of Conduct

TUM hereby issues the following principles and guidelines regarding the preparation and carrying out of research and commercial collaborative projects, which are binding upon all members of the University.

The University's continued success in instruction, research and technology transfer is based on high standards of ethics and professionalism in research and commercial relationships. Transparent, clearly defined principles regarding the culture of collaborative projects help ensure that outstanding scientists remain loyal to the University, and build confidence among parties involved in collaborative projects with TUM.

All members of the University involved in research work must adhere to the following principles:

### **1. Loyalty**

Maintain loyalty towards the University, and take into account TUM's fundamental values and interests when performing research work. For further information, please see TUM Mission statement ([http://portal.mytum.de/tum/leitbild/index\\_html](http://portal.mytum.de/tum/leitbild/index_html)).

### **2. Independence**

Adhere closely to the rules regarding the combating of corruption and the Third Party Funding Guidelines of the Free State of Bavaria in their applicable version, and uphold the principles of freedom in science and research. Research and commercial cooperation must not conflict with the unremunerated use of research outcomes and the associated intellectual property rights for TUM's and project participants' own scientific purposes in research and instruction.

### **3. Competence**

Apply expert knowledge and conduct research work conscientiously and to high scholarly standards.

### **4. Integrity**

Act with integrity when applying for and carrying out research projects and when reporting on research outcomes, either in writing or orally. Deceptive or misleading conduct is against the principles of academic honor.

### **5. Respect**

Treat research partners with respect and esteem, and interact with them in a reliable and trustworthy manner.

## **6. Criticism**

View constructive criticism as a welcome and supportive part of scientific development.

## **7. Confidentiality**

Keep confidential any information of which they become aware in the course of collaborative research and commercial projects. Such information should be used solely for the purpose of carrying research assignments in a conscientious manner.

## **8. Conflicts of Interest**

Avoid situations which might give rise to conflicts of interest. If necessary, endeavor to resolve such situations by making appropriate assessments and avoiding action where appropriate. Cooperation with competing contractual parties in the same field of research and the use of unauthorized information or materials are to be avoided.

## **9. Contractual Agreements**

Do not independently draw up contractual agreements with research and cooperation partners unless you have been assigned signing authority. Contractual agreements with third parties always relate to the university as a whole; as a public-law body and state entity, TUM is represented externally by the President; authority to act may be assigned by him.

## **10. Calculation of Project-related Costs**

Given the importance of operating according to commercial principles, project-related full costs<sup>12</sup> must be used as the basis for calculating costs vis-à-vis third parties.

Market rates and appropriate conditions apply to all contractual goods and services which could equally be provided by the private sector. Price dumping relative to commercial or public-sector competitors is forbidden.

## **11. Transparency in Use of Funds**

Ensure that research project funds are used effectively and appropriately. Depending on the agreement in question, provide cooperation partners and sponsors with regular updates concerning the progress of projects supported by them. A research project's revenues and financial obligations vis-à-vis third parties must always be managed via an assigned fund at TUM.

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<sup>12</sup> Full costs are determined based on overhead costing, using the simplified calculation scheme for order calculations per EU Community guidelines.

## **12. Intangible Assets (IAs) including Intellectual Property Rights (IPRs)**

Adhere to TUM's IP Policy<sup>13</sup> when creating intangible assets<sup>14</sup>. When intellectual property rights are transferred to third parties (e.g. commercial cooperation), ensure that TUM is a co-applicant in patent and trademark applications. Take into account the interests of not only the University but also the members of the University involved.

## **13. Scientific Ethics**

Only participate in research projects which accord with statutory requirements and TUM ethical guidelines (TUM Mission Statement). Take all necessary precautions to protect the safety and health of project participants. Do not conduct research work requiring a permit (e.g. human or animal studies) until approval has been granted by the relevant commission (e.g. ethics commission).

## **14. Equal Opportunity**

Promote equal opportunity when choosing employees to participate in research projects. Avoid discrimination (e.g. based on gender, background, religion or age), and when choosing project participants apply the appropriate objectivity in considering all qualified individuals.

## **15. Conflict Resolution**

Consult the University if there is a bilaterally irresolvable conflict with cooperation partners. In cases of doubt, notify the President, who must then fulfill his professional obligation to provide assistance in a reliable and trustworthy manner.

On behalf of TUM:



Wolfgang A. Herrmann  
President

Munich, February 1, 2013

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<sup>13</sup> For information on TUM's Patents Policy, please visit [www.forte.tum.de/technologietransfer/tum-patentpolitik](http://www.forte.tum.de/technologietransfer/tum-patentpolitik)

<sup>14</sup> Legally protectable work outcomes or developments, e.g. inventions, computer programs, inventions, aesthetic designs, trademarks

The English translation of this document shall be for convenience purposes only.  
Only the German document is legally binding.

**Code of Conduct**  
**for Safeguarding Good Academic Practice**  
**and**  
**Procedures in Cases of Academic Misconduct**  
**at**  
**Technische Universität München**

This Code of Conduct is based on the Memorandum for Safeguarding Good Scientific Practice of the DFG (1998) and its supplements (2013). The position paper "Empfehlungen zur wissenschaftlichen Integrität" (Recommendations on scientific integrity, available in German only) presented in 2015 by the German Council of Science and Humanities accompanies this memorandum.

**1. Principles of Good Academic Practice**

- (1) Scientists and scholars working at the Technische Universität München are obligated to
  - perform their work according to professional standards (*lege artis*),
  - document results,
  - critically assess their results,
  - observe strict honesty regarding the contributions of partners, competitors, and predecessors
  - avoid and prevent academic misconduct,
  - and to observe the principles set out below.
- (2) In addition to measures for determining and disciplining academic misconduct, measures should be introduced and/or enforced to prevent academic misconduct. As an institution designed to foster and develop the arts and sciences through research, teaching, and study, the university is responsible for ensuring such measures are in place.
- (3) Working group leaders are to serve as academic role models by observing and embodying the principles of good academic practice laid out here. In the interest of their professional development, young scientists and students must be vigilant with regard to any misconduct in their academic environment.
- (4) The departments and schools are called upon to adequately address the issue of academic misconduct within the scope of their instruction, communicating the TUM Code of Good Academic Conduct to young scientists and students.

**2. Collaboration and Management within Academic Units**

The heads of academic units (collaborative research centers, research centers, research training groups, research groups, and other working groups) are responsible for ensuring that suitable and

appropriate organizational measures are in place, that the responsibilities of management, supervision, conflict settlement, and quality assurance within the academic unit are clearly defined and that its members are able to fulfill these responsibilities.

### 3. Supervision and Mentoring of Young Scientists

- (1) From the very beginning, students should acquire, and supervisors should convey, not only technical skills, but also ethical standards in scholarly work, in the responsible application of research results, and in collaborative work with other researchers. Students and young scientists are entitled to the continual academic mentoring and support of advisors and heads of academic units; they are in turn obligated to perform their work responsibly and contribute to a collegial working environment. Heads of academic units bear the responsibility of ensuring the adequate supervision and mentoring of students, doctoral candidates and postdocs.
- (2) The advising of doctoral candidates by supervisors is governed by a supervision agreement to be signed by both parties, which is also the application for the entry into the doctoral list and for membership of TUM Graduate School. The agreement structures the doctoral project and includes a work and time schedule, objectives for further qualification, and delineates the rights and obligations of the signing parties and is intended to ensure regular supervisory meetings and the candidates' integration into the academic community. Supervisors support their candidates in obtaining suitable funding for the doctoral program, in the structuring the doctoral process, and in building an academic network as well as exploring career opportunities. Supervisors should not take on a greater number of doctoral candidates than they can adequately supervise.
- (3) The following conditions apply:
  - Before commencing work on their academic projects (bachelor's thesis, master's thesis, etc.), students are to have read and signed this Code of Conduct.
  - This Code of Conduct will be made available to all doctoral candidates and their supervisors by the TUM Graduate School and are an integral part of the compulsory program for all doctoral candidates.
  - This Code of Conduct is provided to all academic personnel when signing their employment contracts.

### 4. Performance and Assessment Criteria

Originality and quality as criteria for assessing performance in examinations, the awarding of degrees, employment, promotion, recruitment, and funding always take precedence over quantity (especially with regard to publications). All performance and assessment criteria should be based on this principle.

### 5. Protection and Storage of Primary Data

Compressed primary data serving as basis for publications are to be securely stored on durable storage media for a term of ten years within the academic unit where they originated. Where possible, preparations and samples used in developing primary data should be stored for the same time period. In this context, reference is made to the recommendations of the Deutsche Forschungsgemeinschaft regarding the storage of primary data.

### 6. Scholarly Publications

- (1) Subject to various criteria required by specific disciplines, the following guidelines are to be observed in the publication of scholarly work:

- (a) The term "original work" is limited to the first-time publication of new scholarly results. Accordingly, multiple publications of the same scholarly results, with the exception of announcement of preliminary results prior to publication, must acknowledge the first-time publication. "Self plagiarism" means that earlier own work or parts of it are not marked as such (quoted); this is particularly relevant to work which has already been used as part of an examination.
  - (b) Scholarly research must be verifiable. Therefore the publication of results must contain an exact description of methods and outcomes comprehensible to a person skilled in the art.
  - (c) Findings which either support or challenge the hypothesis of the author must be communicated in equal measure.
  - (d) Findings and ideas of other researchers as well as relevant publications of other authors are to be cited faithfully and completely.
  - (e) Investigations should not be fragmented to create the appearance of multiple publications, as this constitutes academic misconduct.
- (2) If multiple authors have contributed to research or in writing a scientific report, those persons are to be named as co-authors who played a substantial role in
- (a) defining the problem, drawing up research plans, conducting research, evaluating or interpreting research outcomes, and
  - (b) drafting or critical review and revision of manuscript content. Co-authorship does not apply to persons who merely technically contribute to the collection of data, or who merely provide funding, or who merely serve as the head of the department or institution in which the research is carried out. Likewise persons who merely read the manuscript without contributing to its content are not considered co-authors. In addition, the following requirements apply:
    - in case of reports drawn up by several working groups, the contributions of individual groups should be identified as clearly as possible;
    - the release of a manuscript for publication should be confirmed by all co-authors and the contributions of individuals or working groups should be documented;
    - written consent must be obtained if the manuscript contains explicit reference to unpublished findings of other persons or institutions, notwithstanding other specific conventions established in the discipline.
- (3) Acknowledgement of co-authorship implies shared responsibility for compliance of the publication with academic standards, in particular to those sections of the manuscript contributed by a co-author. Co-authors are thus responsible for the accuracy of their own contributions as well as for the compliance of the publication as a whole with academic standards.
- (4) If scholars are named as (co-)authors of a publication without their consent and do not wish to give their consent at a later date, they are expected to expressly voice their objections to the first or last named author (who is, as a rule, the main author) and/or the journal. For further reference, please see the recommendations of the DFG on authorship.

## 7. Academic Misconduct

- (1) Academic misconduct has occurred when a scholar, deliberately or through gross negligence, makes false statements, infringes upon intellectual property rights or the research activities of others in any way, including, but not limited to:
  - (a) False Statements including



- (i) fabrication of data;
  - (ii) falsification of data and sources, such as
    - failure to acknowledge relevant sources, references, or literature;
    - selective use or ignoring of undesired outcomes without disclosure;
    - manipulation of sources, representations, illustrations, diagrams, etc.;
  - (iii) false statements in letters of application or funding applications (such as incorrect information provided on the publisher or pending publications);
  - (iv) false statements about the scholarly achievements of applicants to a selection committee.
- (b) Infringement of Intellectual Property Rights
- with regard to the copyrighted work or significant scholarly findings, hypotheses, teaching or research methods of others through
- (i) unauthorized use or claims of authorship (plagiarism);
  - (ii) exploitation, particularly of unpublished research methods and ideas, especially in the role of reviewer, referee, expert, assessor, etc. (intellectual theft);
  - (iii) claiming or wrongfully accepting academic authorship or co-authorship;
  - (iv) tampering with content;
  - (v) unauthorized publication or making available to third parties of works, findings, hypotheses, educational contents, or research methods not yet published;
  - (vi) claiming another person's (co-)authorship without consent.
- (c) Compromising the Research Activities of Others by
- (i) Sabotaging the research of others, for example, by
    - damaging, destroying, or manipulating experiment designs, equipment, documents, hardware, software, chemicals or other materials required by others to carry out an experiment;
    - malicious misplacing or stealing of books, archived materials, manuscripts, data sets, laboratory or experiment protocols;
    - willfully tampering with media, such as books, documents or other data and records of scientific relevance in order to render them useless.
  - (ii) Removing primary data, to the extent that this violates statutory regulations or the standard principles of scientific practice recognized by a particular discipline.
  - (iii) Termination of joint research activities without reasonable cause or the prevention of the publication of results as co-author, on whose approval the publication relies, without urgent reason (obstructing consent refusal). Publication refusals must be justified by verifiable criticism of data, methods or measurement results.
- (d) False Accusations
- Frivolous accusations of scientific misconduct, in particular, willfully making false accusations, is also considered scientific misconduct. Claims of scientific misconduct brought against other scientists are to be made in good faith; that is, claims are to be adequately researched

and the facts of the case thoroughly substantiated.

- (2) Academic misconduct also occurs when conduct gives rise to the person's partial responsibility for the academic misconduct of others, in particular through
  - (a) active involvement in other persons' misconduct,
  - (b) awareness of other persons' falsifications,
  - (c) co-authorship of falsified publications or
  - (d) gross negligence of supervisory obligations.

#### 8. Investigation of Academic Misconduct

- (1) Technische Universität München will review every serious indication of academic misconduct of its current and former members, provided that the work or performance in question was carried out or rendered at Technische Universität München.
- (2) The procedure for the investigation of academic misconduct delineated in this code of conduct does not replace or prejudice any other legal or statutory proceedings (e.g. academic procedures, legal proceedings relating to employment or civil service, civil or criminal proceedings). If necessary, these will be instituted by the entities responsible. The process of uncovering scientific misconduct detailed in this directive aims to create the possibility to solve occurring conflicts at a purely technical level and in due consideration of the specific peculiarities of the field. To this end, all persons involved should have the opportunity, besides the procedure referred to in clause 1, to suggest an approach on the technical level without recourse to legal aid. The involvement of a lawyer is reserved by law or statutory law regulated procedure referred to in sentence 1 above.

#### 9. Ombudsperson

- (1) At the senate's proposal, the president will appoint an ombudsperson and a proxy from among the professorial and non-professorial academic staff. Their term in office will be three years, with possible reappointment for up to 9 years of mandate maximum. Where possible the ombudsperson should be elected from among the TUM Emeriti of Excellence.
- (2) Vice presidents and deans may not serve as ombudspersons. The regulations of the
- (3) Bavarian Administrative Procedures Act concerning the exclusion of persons due to personal
- (4) involvement (Art. 20 and 21 of the Bayerisches Verwaltungsverfahrensgesetz) shall apply to ombudspersons.
- (5) The names of the currently serving ombudspersons and this code of conduct will be made available to the public on the internet.
- (6) The ombud office provides administrative assistance to appointed ombudspersons and archives case records and files.

#### 10. Contacting the Ombudsperson

- (1) Anybody may request the assistance of the ombudsperson or the ombudsperson's proxy to report a suspicion of academic misconduct at the Technische Universität München (informant, whistleblower). This also applies to persons who are suspected of academic misconduct. Information on alleged or suspected academic misconduct is to be provided in writing; where information is provided orally, the ombudsperson or his or her proxy has to prepare a written report on the alleged or suspected misconduct including substantiating evidence. Anonymous complaints will not be investigated.

- (2) The ombudsperson and his or her proxy are bound to secrecy unless persons other than those directly affected are already aware of the suspected misconduct or additional persons have been involved with the affected person's consent; this also applies to the informant's identity. Without the consent of the person seeking assistance, the ombudsperson or proxy may not disclose the provided information unless the substantiated suspicion relates to such severe academic misconduct, which if not investigated would lead to major damage for the Technische Universität München, its members or third parties. In such cases, the ombudsperson or proxy will inform the president and the dean of the relevant TUM school or department.
- (3) The ombudsperson works in close collaboration with the other advisory offices of TUM. Conflicts not relating to academic misconduct will, after consultation with the informant, be confidentially forwarded to the appropriate entities of TUM (Employee Council, Board of Arbitration of the TUM Graduate School, Psychosocial Counseling, etc.).

#### 11. Preliminary Investigation

- (1) The ombudsperson or proxy will investigate if and to what extent the allegations are convincing enough to be considered academic misconduct. Insofar as the allegations are not considered convincing, the informant will be given the opportunity to provide specific evidence within a period of four weeks.
- (2) If allegations are not substantiated within the defined period, the ombudsperson or proxy will notify the informant of its decision not to institute formal proceedings, providing the grounds for this decision.
- (3) Where there are substantiated allegations, the ombudsperson or proxy will present the person suspected of misconduct the allegations and provide said person the opportunity to respond to the allegations in a written statement within a period of four weeks. If necessary, the ombudsperson or proxy may request information from other parties involved. If the suspected person's statement dispels the suspicions, the ombudsperson may discontinue the preliminary investigation, stating the grounds for this decision.
- (4) The ombudsperson will endeavor at all times to mediate between the parties involved. Where the mediation efforts between the parties involved lead to an amicable resolution of the allegations, the investigation will be discontinued and archived in the ombud office.
- (5) If the preliminary investigation is not discontinued as set out in (3) or (4), the ombudsperson will set up an ad hoc investigation committee no later than two weeks after receipt of the affected person's statement or lapse of the deadline for submitting a statement.
- (6) In well-founded, exceptional cases the ombudsperson may extend the deadlines.

#### 12. Investigation Committee

- (1) The investigation committee will consist of:
  - two professors appointed by the dean of the department or school involved in each individual case;
  - two additional professors appointed by the senate;
  - a representative of the non-professorial academic staff appointed by the research staff assembly;
  - the ombudsperson;
  - the ombudsperson's proxy;

The confidentiality obligations set out in 10 (2) of this Code of Conduct shall apply to the members of the investigation committee accordingly.

- (2) Members of the investigation committee are required to attend meetings of the investigation committee in person. Members may not send a proxy to these meetings; for a quorum, at least five members must be present. Based on the facts and circumstances investigated in the individual case, each member of the committee will reach a decision at his or her discretion and conviction; decisions require a simple majority.
- (3) The investigation committee will be chaired by the ombudsperson or proxy.
- (4) Meetings of the investigation committee are closed to the public.
- (5) The investigation committee has the right to take all steps necessary or expedient to establish the facts and circumstances of the case. For this purpose, the committee may obtain all necessary information, opinions, and representations and, in each individual case, call upon the equal opportunity officer(s) and/or experts of the discipline in question, advising all parties involved of the obligation to keep the matter under investigation confidential. Both the person affected and the informant shall be given the opportunity to present an oral statement. The affected person is to be informed of the incriminating facts and evidence.
- (6) Where the identity of the informant is not known to the person affected, the informant's identity must be disclosed if this seems necessary for the affected person to defend himself or herself appropriately, in particular where the informant's credibility is of major importance for the determination of academic misconduct.
- (7) The investigation committee will make a decision within a period of six months unless the complexity and difficulty of the facts and circumstances justify a longer period.
- (8) The files on the investigation must be kept in the ombud office for a period of 30 years.
- (9) If the investigation is discontinued the informant, if he or she does not agree with the discontinuation, may notify the ombudsperson or proxy within a period of two weeks. In such a case the commission will reexamine its decision. The reexamination and agreement among commission members does not require a separate meeting, but may be carried out by written circulation procedure.

### 13. Investigation Result

- (1) The investigation committee will prepare a final report on the result of the investigation and, together with a proposal on how to proceed and any sanctions and/or measures recommended, submit it to the president for decision.
- (2) The president will inform the ombudsperson of his or her decision and take the necessary steps to implement the measures. The ombudsperson will notify the informant of the president's decision.
- (3) Third parties concerned and/or the general public are to be informed of the investigation result in appropriate manner if this seems expedient to protect third parties, maintain trust in academic honesty, restore their academic reputation, avoid consequential damage or otherwise benefit public interest.
- (4) The appendix to this code of conduct contains examples of relevant decisions of the president.

#### 14. Entry into Force

This latest amended code of conduct was decided by the TUM Board of Management on 15 July 2015 and enter into full force and effect after the signature by the president.

Wolfgang A. Herrmann  
President

Munich, 15 July 2015

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## Appendix

### Examples of potential decisions and sanctions relating to academic misconduct

Where the investigation committee has formally determined academic misconduct, the president may consider a range of decisions, varying in type and scope. As each case is unique and the degree of misconduct in question of significance for the decision, there can be no uniform guideline for the repercussions, which will be determined by the particulars of each case. Depending on the individual factors of each case, the following measures, including but not limited to the following, may be taken:

- (1) Actions under employment law, in particular,
  - official warning
  - termination of employment with immediate effect
  - termination of employment with period of notification
  - termination of contract;
- (2) Actions under the German Civil Service Law, in particular, disciplinary measures;
- (3) Actions within the academic community, in particular,
  - revocation of academic titles or *venia legendi*
  - notification of misconduct to other academic institutions and associations
  - request for withdrawal of academic publications;
  - In case of scientific misconduct as in clause 7 para. (1) lit. 8 (c) (iii) 2. Alt. the publication can be permitted to the other scientist if the obstruction is established to the satisfaction of the ompudsperson. The facts must be disclosed in the publication and in the publication permission.
- (4) Actions under civil law, in particular,
  - barring from premises
  - request the affected person to surrender any unlawfully obtained scientific material
  - request for abatement or removal and/or request to cease and desist under German copyright law, rights of personality, patent law, and law of competition
  - request for restitution of, for example, grants, third-party funds, etc.
  - claims for damages asserted by the university or third parties in the event of personal injury, damage to property, etc.;
- (5) Actions under Criminal Law, in particular, bringing charges or requesting prosecution in the event of suspicion that an incident of academic misconduct may constitute an offence under the German Criminal Code (StGB) or other punishable offence or misdemeanor, in particular,
  - copyright infringement
  - forgery of documents (including forgery of technical reports)

- property damage (including the manipulation of data)
- theft or other dishonesty offence (such as stealing, fraudulently obtaining
- funding, misappropriation)
- infringement of private sphere or confidentiality by, for example, data
- phishing or using confidential data of others
- damage to life or health of, for example, subjects in medical tests as a
- consequence of false data).

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# **Richtlinien**

## **zur Sicherung guter wissenschaftlicher Praxis**

### **und für den**

## **Umgang mit wissenschaftlichem Fehlverhalten**

### **an der**

## **Technischen Universität München**

Diese Richtlinien beziehen sich auf die Denkschrift „Sicherung guter wissenschaftliche Praxis – Safeguarding Good Scientific Practice“ der DFG (1998) und ihren Ergänzungen (2013). Das vom Wissenschaftsrat in 2015 vorgestellte Positionspapier „Empfehlungen zur wissenschaftlichen Integrität“ ergänzt diese Denkschrift.

#### 1. Grundsätze guter wissenschaftlicher Praxis

- (1) An der Technischen Universität München (TUM) tätige Wissenschaftlerinnen und Wissenschaftler sind verpflichtet,
  - lege artis zu arbeiten,
  - Resultate zu dokumentieren,
  - alle Ergebnisse kritisch zu hinterfragen,
  - strikte Ehrlichkeit im Hinblick auf die Beiträge von Partnern, Konkurrenten und Vorgängern zu wahren,
  - wissenschaftliches Fehlverhalten zu vermeiden und ihm vorzubeugen und
  - die im Folgenden beschriebenen Grundsätze zu beachten.
- (2) Neben Maßnahmen zur Feststellung und Ahndung wissenschaftlichen Fehlverhaltens sollen geeignete Maßnahmen getroffen oder verstärkt werden, um wissenschaftliches Fehlverhalten nicht entstehen zu lassen. Der Universität als Stätte der Pflege und Entwicklung der Wissenschaften und der Künste durch Forschung, Lehre und Studium kommt hierbei institutionelle Verantwortung zu.
- (3) Jede Leiterin oder jeder Leiter einer Arbeitsgruppe hat sich wissenschaftlich vorbildlich zu verhalten und die Richtlinien guter wissenschaftlicher Praxis zu vermitteln. Nachwuchswissenschaftler/-innen und Studierende müssen im Interesse ihrer eigenen Zukunftsplanung auch selbst wachsam gegenüber möglichem Fehlverhalten in ihrem Umfeld sein.
- (4) Die Fakultäten sind aufgefordert, in der wissenschaftsbezogenen Ausbildung „Wissenschaftliches Fehlverhalten“ angemessen zu thematisieren. Sie unterrichten Nachwuchswissenschaftler/-innen und Studierende über die an der TUM geltenden Richtlinien.

#### 2. Zusammenarbeit und Leitungsverantwortung in Arbeitsbereichen und -gruppen

Die Leiterinnen oder Leiter von wissenschaftlichen Arbeitsbereichen und -gruppen (Sonderforschungsbereiche, Forschungszentren, Graduiertenkollegs, Forschergruppen und sonstige Arbeitseinheiten) tragen die Verantwortung dafür, durch geeignete und angemessene Organisationsmaßnahmen sicherzustellen, dass die Aufgaben der Leitung, Aufsicht, Konfliktregelung und Qualitätssicherung in-



nerhalb der Arbeitsbereiche und -gruppen eindeutig zugewiesen sind und von ihren Mitgliedern tatsächlich wahrgenommen werden können.

### 3. Betreuung des wissenschaftlichen Nachwuchses

- (1) Mit Beginn wissenschaftlichen Arbeitens gilt es, nicht nur technische Fertigkeiten, sondern auch eine ethische Grundhaltung beim wissenschaftlichen Arbeiten, beim verantwortlichen Umgang mit Ergebnissen und bei der Zusammenarbeit mit anderen Forschenden zu erwerben und zu vermitteln. Studierende und Nachwuchswissenschaftlerinnen und -wissenschaftler haben einen Anspruch auf regelmäßige wissenschaftliche Beratung und Unterstützung durch Betreuende oder Leitungspersonen von Arbeitsbereichen und Arbeitsgruppen; sie sind ihrerseits zu verantwortungsvoller Arbeit und Kollegialität verpflichtet. Wer einen Arbeitsbereich/eine Arbeitsgruppe leitet, trägt Verantwortung dafür, dass für Studierende, Promovenden und Graduierte eine angemessene Betreuung gesichert ist.
- (2) Für die Betreuung von Promovenden schließen Betreuungspersonen mit ihren Promovenden eine Betreuungsvereinbarung ab, über die auch die Eintragung in die Promotionsliste und die Mitgliedschaft in der TUM Graduate School beantragt wird. Die Betreuungsvereinbarung strukturiert das Promotionsvorhaben und beinhaltet einen Arbeits- und Zeitplan, fachliche und überfachliche Weiterqualifizierungsziele sowie weitere qualitätssichernde Maßnahmen. Regelmäßige Betreuungsgespräche sollen gewährleistet und die Einbindung in das akademische Umfeld muss im Rahmen der Promotion nachgewiesen werden. Betreuungspersonen unterstützen ihre Promovenden in der Sicherung einer geeigneten Finanzierung der Promotion, bei der Strukturierung des Promotionsprozesses, beim Aufbau eines akademischen Netzwerks und bei der Entwicklung von Karrieremöglichkeiten. Betreuungspersonen sollten nicht mehr Promovenden annehmen, als sie in der Lage sind, adäquat zu betreuen.
- (3) Beispielhaft bedeutet das:
  - Den Studierenden sind für die Durchführung wissenschaftlicher Arbeiten (Bachelor-, Masterarbeiten etc.) diese Richtlinien gegen Unterschrift zu übergeben.
  - Im Rahmen der TUM Graduate School werden allen Promovenden und Betreuungspersonen diese Richtlinien bekannt gemacht.
  - Das wissenschaftliche Personal der TUM bekommt die Richtlinien bei der Unterzeichnung ihrer Beschäftigungsverträge ausgehändigt.

### 4. Leistungs- und Bewertungskriterien

Originalität und Qualität haben als Leistungs- und Bewertungskriterien für Prüfungen, für die Verleihung akademischer Grade, für Einstellungen, Beförderungen, Berufungen und Mittelzuweisungen stets Vorrang vor Quantität (insb. im Hinblick auf Veröffentlichungen). Leistungs- und Bewertungskriterien sind an diesem Grundsatz auszurichten.

### 5. Sicherung und Aufbewahrung von Primärdaten

Komprimierte Primärdaten als Grundlagen für Veröffentlichungen sind auf haltbaren und gesicherten Trägern in der Einrichtung, in der sie entstanden sind, für zehn Jahre aufzubewahren. Wann immer möglich, sollen Präparate und Proben, mit denen Primärdaten erzielt wurden, für denselben Zeitraum aufbewahrt werden. Auf die Ausführungen in der Empfehlung der Deutschen Forschungsgemeinschaft zur Aufbewahrung von Primärdaten wird ergänzend hingewiesen.

### 6. Wissenschaftliche Veröffentlichungen

- (1) Vorbehaltlich unterschiedlicher Kriterien, die in verschiedenen Fachdisziplinen Anerkennung gefunden haben, sind für die Gestaltung von wissenschaftlichen Publikationen folgende Leitlinien zu beachten:

- (a) Die Bezeichnung als „Originalarbeit“ kann nur der erstmaligen Mitteilung neuer wissenschaftlicher Erkenntnisse zukommen. Demzufolge ist die mehrfache Publikation derselben Ergebnisse, abgesehen von vorläufigen Kurzmitteilungen in aktuellen Fällen, nur unter Offenlegung der Veröffentlichung der Originalarbeit gestattet. „Selbstplagiat“ bedeutet, dass frühere eigene Arbeiten oder Teile daraus nicht als solche gekennzeichnet (zitiert) sind; besondere Relevanz hat dies für Arbeiten, die bereits einmal als Teil einer Prüfungsleistung verwendet wurden.
  - (b) Wissenschaftliche Untersuchungen müssen nachprüfbar sein. Demzufolge muss ihre Publizierung eine exakte, für den Fachmann nachvollziehbare Beschreibung der Methoden und der Ergebnisse enthalten.
  - (c) Befunde, welche die Hypothese der Autorin bzw. des Autors stützen oder sie in Frage stellen, sind gleichermaßen mitzuteilen.
  - (d) Befunde und Ideen anderer Forschender sind ebenso wie relevante Publikationen anderer Autorinnen und Autoren vollständig zu zitieren.
  - (e) Die Fragmentierung von Untersuchungen mit dem Ziel, die Anzahl scheinbar eigenständiger Publikationen zu erhöhen, erfüllt den Tatbestand des wissenschaftlichen Fehlverhaltens.
- (2) Sind an einer Forschungsarbeit oder an der Abfassung eines wissenschaftlichen Berichts mehrere Autoren beteiligt, so ist als Mitautorin bzw. Mitautor zu nennen, wer wesentlich
- (a) zur Fragestellung, zum Forschungsplan, zur Durchführung der Forschungsarbeiten, zur Auswertung oder Deutung der Ergebnisse sowie
  - (b) zum Entwurf oder zur kritischen inhaltlichen Überarbeitung des Manuskripts beigetragen hat. Eine nur technische Mitwirkung bei der Datenerhebung vermag eine Mitautorenschaft ebenso wenig zu begründen wie allein die Bereitstellung von Finanzmitteln oder die allgemeine Leitung der Abteilung oder Einrichtung, in der die Forschung durchgeführt wurde. Gleiches gilt für das bloße Lesen des Manuskripts ohne Mitgestaltung des Inhalts. Weiterhin sollen
    - bei Berichten aus mehreren Arbeitsgruppen soweit wie möglich die Beiträge der Einzelgruppen kenntlich gemacht werden,
    - alle Mitautorinnen und Mitautoren die Freigabe eines Manuskripts zur Veröffentlichung bestätigen und die Anteile der einzelnen Personen oder Arbeitsgruppen dokumentiert werden,
    - vorbehaltlich anderer anerkannter fachspezifischer Übung schriftliche Einverständniserklärungen eingeholt werden, wenn im Manuskript unveröffentlichte Beobachtungen anderer Personen zitiert oder Befunde anderer Institutionen verwendet werden.
- (3) Durch das Einverständnis mit der Nennung als Mitautorin bzw. Mitautor wird die Mitverantwortung dafür übernommen, dass die mitautorisierte Publikation wissenschaftlichem Standard entspricht. Dies gilt vor allem für den Bereich, für den eine Mitautorin bzw. ein Mitautor einen Beitrag geliefert hat. Insofern ist man sowohl für die Korrektheit des eigenen Beitrags wie auch dafür verantwortlich, dass dieser in wissenschaftlich vertretbarer Weise in die Publikation eingebracht wird.
- (4) Finden sich Wissenschaftlerinnen und Wissenschaftler ohne ihr Einverständnis in einer Veröffentlichung als (Mit-)Autoren genannt und sehen sie sich zu einer nachträglichen Genehmigung außer Stande, so ist von ihnen zu erwarten, dass sie sich gegen ihre Aufnahme in den Autorenkreis bei den Erst- oder Letztautoren (als den im Regelfall Hauptverantwortlichen) und/oder bei der betreffenden Zeitschrift in ausdrücklicher Form verwahren. Auf die Ausführungen in den Empfehlungen der Deutschen Forschungsgemeinschaft zur Autorschaft wird ergänzend hingewiesen.

## 7. Wissenschaftliches Fehlverhalten

(1) Wissenschaftliches Fehlverhalten liegt vor wenn in einem wissenschaftserheblichen Zusammenhang bewusst oder grob fahrlässig Falschangaben gemacht werden, geistiges Eigentum anderer verletzt oder sonst wie deren Forschungstätigkeit beeinträchtigt wird, insbesondere durch

(a) Falschangaben durch

- (i) Erfinden von Daten,
- (ii) Verfälschung von Daten und Quellen, wie beispielsweise
  - durch Unterdrücken von relevanten Quellen, Belegen oder Texten,
  - durch Auswählen und Zurückweisen unerwünschter Ergebnisse, ohne dass dies offengelegt wird,
  - durch Manipulation von Quellen, Darstellungen oder Abbildungen,
- (iii) unrichtige Angaben in einem Bewerbungsschreiben oder einem Förderantrag (einschließlich Falschangabe zum Publikationsorgan und zu in Druck befindlichen Veröffentlichungen),
- (iv) unrichtige Angaben zur wissenschaftlichen Leistung von Bewerberinnen und Bewerbern in Auswahlkommissionen.

(b) Verletzung geistigen Eigentums

in Bezug auf ein von einem anderen geschaffenes urheberrechtlich geschütztes Werk oder von anderen stammende wesentliche wissenschaftliche Erkenntnisse, Hypothesen, Lehren oder Forschungsansätze durch

- (i) unbefugte Verwertung oder Anmaßung der Autorenschaft (Plagiat),
- (ii) Ausbeutung von insbesondere noch nicht veröffentlichten Forschungsansätzen und Ideen, insbesondere als Gutachter (Ideendiebstahl),
- (iii) Anmaßung oder unbegründete Annahme wissenschaftlicher Autoren- oder Mitautorenschaft,
- (iv) Verfälschung des Inhalts,
- (v) unbefugte Veröffentlichung oder unbefugtes Zugänglichmachen gegenüber Dritten, solange das Werk, die Erkenntnis, die Hypothese, der Lehrinhalt oder der Forschungsansatz noch nicht veröffentlicht ist,
- (vi) Inanspruchnahme der (Mit-)Autorenschaft einer anderen Person ohne deren Einverständnis.

(c) Beeinträchtigung von Forschungstätigkeit anderer durch

- (i) Sabotage von Forschungsvorhaben anderer, wie beispielsweise durch
  - Beschädigen, Zerstören oder Manipulieren von Versuchsanordnungen, Geräten, Unterlagen, Hardware, Software, Chemikalien oder sonstiger Sachen, die ein anderer zur Durchführung eines Experiments benötigt,
  - arglistiges Verstellen oder Entwenden von Büchern, Archivalien, Handschriften, Datensätzen, Labor- und Versuchsaufzeichnungen,
  - vorsätzliche Unbrauchbarmachung von wissenschaftlich relevanten Informationsträgern, wie Büchern, Dokumenten oder sonstigen Daten und Aufzeichnungen,

(ii) Beseitigung von Primärdaten, soweit damit gegen gesetzliche Bestimmungen oder fachspezifisch anerkannte Grundsätze wissenschaftlicher Arbeit verstoßen wird.

(iii) Beendigung einer gemeinsamen Forschungstätigkeit ohne hinreichenden Grund oder Verhinderung der Publikation von Ergebnissen als Mitautor, auf dessen Zustimmung die Veröffentlichung angewiesen ist, ohne dringenden Grund (obstruierende Zustimmungsverweigerung). Publikationsverweigerungen müssen mit nachprüfbarer Kritik an Daten, Methoden oder Messergebnissen begründet werden.

(d) Falsche Anschuldigungen

Der leichtfertige Umgang mit Vorwürfen wissenschaftlichen Fehlverhaltens, erst recht die Erhebung bewusst unrichtiger Vorwürfe, kann ebenfalls eine Form wissenschaftlichen Fehlverhaltens darstellen. Die Anzeige eines wissenschaftlichen Fehlverhaltens hat im guten Glauben zu erfolgen. Vorwürfe dürfen nicht ungeprüft und ohne hinreichende Kontrolle der Fakten erhoben werden.

(2) Wissenschaftliches Fehlverhalten besteht auch in einem Verhalten, aus dem sich eine Mitverantwortung für das Fehlverhalten anderer ergibt, insbesondere durch

(a) aktive Beteiligung am Fehlverhalten anderer,

(b) Mitwissen um Fälschungen durch andere,

(c) Mitautorenschaft an fälschungsbehafteten Veröffentlichungen oder

(d) grobe Vernachlässigung der Aufsichtspflicht.

## 8. Verfolgung wissenschaftlichen Fehlverhaltens

(1) Die TUM wird jedem schwerwiegendem Hinweis auf wissenschaftliches Fehlverhalten ihrer aktuellen oder ehemaligen Mitglieder in der Universität nachgehen, soweit die betreffenden Arbeiten oder Leistungen an der TUM entstanden sind.

(2) Das Verfahren zur Aufklärung wissenschaftlichen Fehlverhaltens nach dieser Richtlinie ersetzt und hindert nicht andere, gesetzlich oder satzungsmäßig geregelte Verfahren (z. B. akademische Verfahren, arbeits- oder beamtenrechtliche Verfahren, Zivil- oder Strafverfahren); diese werden ggf. von den jeweils zuständigen Organen eingeleitet. Das Verfahren zur Aufklärung wissenschaftlichen Fehlverhaltens nach dieser Richtlinie soll die Möglichkeit schaffen, auftretende Konfliktfälle auf rein fachlicher Ebene unter Berücksichtigung der jeweiligen fachlichen Besonderheiten einer interessengerechten Lösung zuzuführen. Hierbei sollen sämtliche Beteiligte die Möglichkeit erhalten, abseits der vorstehend in Satz 1 genannten Verfahren, ohne Hinzuziehung rechtsberatender Personen auf fachlicher Ebene Lösungswege zu erarbeiten. Die Mitwirkung eines Rechtsbeistands bleibt den in Satz 1 genannten gesetzlich oder satzungsmäßig geregelten Verfahren vorbehalten.

## 9. Ombudsperson

(1) Der Präsident/die Präsidentin bestellt im Einvernehmen mit dem Senat eine Ombudsperson sowie eine(n) Stellvertreter(in), die auch dem akademischen Mittelbau angehören können. Die Bestellung erfolgt auf die Dauer von drei Jahren mit der Möglichkeit der Wiederbestellung bis zu einer Amtszeit von höchstens 9 Jahren. Nach Möglichkeit soll die Ombudsperson ein Mitglied der TUM Emeriti of Excellence sein.

(2) Die Funktion der Ombudsperson ist unvereinbar mit dem Amt eines Vizepräsidenten/Vizepräsidentin und Dekans/Dekanin. Für die Ombudsperson gelten die Vorschriften über den Ausschluss wegen persönlicher Beteiligung (Art. 20 und 21 Bayerisches Verwaltungsverfahrensgesetz).

- (3) Die jeweils aktuell zuständigen Ombudspersonen und diese Richtlinien werden der Öffentlichkeit zugänglich gemacht (eigene Internetpräsenz).
- (4) Die Ombudspersonen werden durch das Ombudsbüro unterstützt. Hier werden auch die Akten aufbewahrt.

#### 10. Anrufbarkeit der Ombudsperson

- (1) Jedermann kann die Ombudsperson oder deren Vertretung anrufen, um einen Verdacht wissenschaftlichen Fehlverhaltens an der TUM darzulegen (informierende Person, Hinweisgeber). Dieses Recht steht auch denjenigen zu, die sich dem Verdacht wissenschaftlichen Fehlverhaltens ausgesetzt sehen. Die Information über mutmaßliches wissenschaftliches Fehlverhalten soll schriftlich erfolgen; bei mündlicher Information ist von der Ombudsperson oder deren Vertretung ein schriftlicher Vermerk über den Verdacht und die diesen begründenden Belege anzufertigen. Anonymen Hinweisen wird nicht nachgegangen.
- (2) Die Ombudsperson und ihre Vertretung haben Vertraulichkeit zu wahren, soweit die Verdachtsmomente nicht bereits über den Kreis der unmittelbar Betroffenen hinaus bekannt sind oder weitere Personen mit dem Einverständnis der Betroffenen in das Vertrauen einbezogen werden; dies schließt auch die Identität der informierenden Person ein. Ohne die Zustimmung von Ratsuchenden darf die Ombudsperson oder deren Vertretung das ihr Anvertraute nur dann und insoweit weitergeben, als es sich um den begründeten Verdacht eines derart schwerwiegenden wissenschaftlichen Fehlverhaltens handelt, dass bei dessen nicht weiterer Verfolgung schwerster Schaden für die TUM, deren Mitglieder oder für Dritte abzusehen wäre. In diesem Falle informiert die Ombudsperson oder deren Vertretung den Präsidenten/die Präsidentin und nachrichtlich den Dekan/die Dekanin der betreffenden Fakultät.
- (3) Die Ombudsperson steht in enger Verbindung mit den übrigen Beratungsstellen der TUM. Konfliktfälle, die nicht mit wissenschaftlichen Fehlverhalten zu tun haben, werden nach Rücksprache mit der informierenden Person den zuständigen Stellen der TUM (Personalrat; Schiedsstelle der TUM-Graduate School, Psychosoziale Beratung etc.) vertraulich zugeleitet.

#### 11. Vorprüfungsverfahren

- (1) Die Ombudsperson oder deren Vertretung prüft, ob und inwieweit die dargelegten Verdachtsmomente plausibel erscheinen und ein Fehlverhalten begründen könnten. Sofern der Vorwurf nicht plausibel dargelegt ist, wird der informierenden Person Gelegenheit gegeben, den Vorwurf binnen einer Frist von vier Wochen zu konkretisieren.
- (2) Sofern auch nach Ablauf der Frist kein Anfangsverdacht festzustellen ist, teilt die Ombudsperson oder deren Vertretung der informierenden Person unter Angabe einer Begründung mit, dass von einem förmlichen Untersuchungsverfahren abgesehen wird.
- (3) Bei Vorliegen eines Anfangsverdachts gibt die Ombudsperson oder deren Vertretung dem/der Beschuldigten unter Darlegung der Vorwürfe Gelegenheit, innerhalb einer Frist von vier Wochen zu den Vorwürfen schriftlich Stellung zu nehmen. Die Ombudsperson oder deren Vertretung kann von ggf. weiteren Beteiligten Informationen einholen. Sofern die Stellungnahme des Beschuldigten die erhobenen Vorwürfe entkräftet, kann die Ombudsperson das Verfahren unter Angabe einer Begründung einstellen.
- (4) Die Ombudsperson bemüht sich zu jeder Zeit, zwischen den Verfahrensbeteiligten zu vermitteln. Führen die Vermittlungsbemühungen zwischen den Verfahrensbeteiligten zu einer einvernehmlichen Beilegung der Vorwürfe, wird das Verfahren eingestellt und durch das Ombudsbüro archiviert.
- (5) Wird das Verfahren nicht nach Abs. (3) oder (4) eingestellt, richtet die Ombudsperson spätestens zwei Wochen nach Eingang der Stellungnahme des Betroffenen oder Verstreichen der dazu eingeräumten Frist ein ad hoc-Ombudsgremium ein.

- (6) In begründeten Ausnahmefällen können die vorgesehenen Fristen von der Ombudsperson verlängert werden.

## 12. Ombudsgremium

- (1) Dem ad hoc-Ombudsgremium gehören an:
- zwei vom Dekan/der Dekanin der im konkreten Einzelfall betroffenen Fakultät benannte Professoren/Professorinnen,
  - zwei weitere vom Senat delegierte Professoren/Professorinnen,
  - ein vom Konvent der wissenschaftlichen Mitarbeiterinnen und Mitarbeiter benannte(r) Vertreter/Vertreterin des akademischen Mittelbaus,
  - die Ombudsperson,
  - die Stellvertretung der Ombudsperson.

Für die sieben Mitglieder des Ombudsgremiums gelten die Bestimmungen über die Vertraulichkeit gemäß Nr. 10 Abs. (2) dieser Richtlinie entsprechend.

- (2) Zur Sitzung des Ombudsgremiums ist das persönliche Erscheinen der Mitglieder des Ombudsgremiums notwendig. Eine Vertretung der Mitglieder ist nicht zulässig; zur Beschlussfähigkeit müssen mindestens fünf Mitglieder anwesend sein. Das Ombudsgremium trifft seine Entscheidungen unter Berücksichtigung des ermittelten Sachverhalts nach freier Überzeugung mit einfacher Mehrheit.
- (3) Den Vorsitz des Ombudsgremiums führt die Ombudsperson oder deren Stellvertretung.
- (4) Das Ombudsgremium tagt nichtöffentlich.
- (5) Das Ombudsgremium ist berechtigt, alle der Aufklärung des Sachverhalts dienlichen Schritte zu unternehmen. Hierzu kann es unter Hinweis auf die Verpflichtung, über den Untersuchungsgegenstand Verschwiegenheit zu wahren, alle erforderlichen Informationen und Stellungnahmen einholen und im Einzelfall auch die/den Gleichstellungsbeauftragte/-n, Sachgutachterinnen oder Sachgutachter aus dem betroffenen Wissenschaftsbereich hinzuziehen. Sowohl der oder dem Betroffenen als auch der informierenden Person ist Gelegenheit zur mündlichen Äußerung zu geben. Der oder dem Betroffenen sind die belastenden Tatsachen und Beweismittel zur Kenntnis zu geben.
- (6) Ist die Identität der informierenden Person der oder dem Betroffenen nicht bekannt, so ist ihr oder ihm diese offen zu legen, wenn diese Information für die sachgerechte Verteidigung der oder des Betroffenen, insbesondere weil der Glaubwürdigkeit der oder des Informierenden für die Feststellung des Fehlverhaltens wesentliche Bedeutung zukommt, notwendig erscheint.
- (7) Das Ombudsgremium trifft innerhalb von sechs Monaten eine Entscheidung, sofern nicht die Komplexität und Schwierigkeit des Sachverhalts eine spätere Entscheidung rechtfertigt.
- (8) Die Akten der förmlichen Untersuchung sind 30 Jahre im Ombudsbüro aufzubewahren.
- (9) Im Falle der Einstellung des Prüfungsverfahrens kann die informierende Person, wenn sie mit der Einstellung nicht einverstanden ist, innerhalb von zwei Wochen die Ombudsperson oder deren Vertretung informieren. Das Ombudsgremium wird dann seine Entscheidung noch einmal prüfen. Diese Prüfung und Abstimmung kann im Umlaufverfahren stattfinden und muss nicht in einer erneuten Sitzung erfolgen.

## 13. Ergebnis des Ombudsgremiums

- (1) Das Ombudsgremium erstellt einen Abschlussbericht über das Ergebnis des Untersuchungsverfahrens und legt diesen zusammen mit einem Vorschlag zum weiteren Vorgehen und ggf.

empfohlenen Sanktionen bzw. Maßnahmen dem Präsidenten/der Präsidentin zur Entscheidung vor.

- (2) Der Präsident/die Präsidentin informiert die Ombudsperson über seine Entscheidung und veranlasst die notwendigen Schritte zur Umsetzung der Maßnahmen. Die Ombudsperson teilt die Entscheidung des Präsidenten/der Präsidentin der informierenden Person mit.
- (3) Soweit es zum Schutze Dritter, zur Wahrung des Vertrauens in die wissenschaftliche Redlichkeit, zur Wiederherstellung ihres wissenschaftlichen Rufes, zur Verhinderung von Folgeschäden oder sonst wie im allgemeinen öffentlichen Interesse veranlasst erscheint, sind betroffene Dritte und/oder die Öffentlichkeit in angemessener Weise über das Ergebnis des Untersuchungsverfahrens zu unterrichten.
- (4) Mögliche Entscheidungen des Präsidenten/der Präsidentin finden sich beispielhaft im Anhang zu diesen Richtlinien.

#### 14. In-Kraft-Treten

Die neugefassten vorliegenden Richtlinien wurden vom Hochschulrat der TUM am 15. Juli 2015 beschlossen und treten nach Ausfertigung durch den Präsidenten in Kraft.

Wolfgang A. Herrmann  
Präsident

München, 15. Juli 2015

## Anhang

### Mögliche Entscheidungen und Sanktionen bei wissenschaftlichem Fehlverhalten

Wird von dem Ombudsgremium wissenschaftliches Fehlverhalten förmlich festgestellt, so kommen für den Präsidenten/die Präsidentin Entscheidungen unterschiedlicher Art und Reichweite in Betracht. Da jeder Fall anders gelagert sein kann, und auch die Schwere des festgestellten wissenschaftlichen Fehlverhaltens für die jeweilige Entscheidung eine Rolle spielt, kann es keine einheitliche Richtlinie für die jeweils adäquaten Konsequenzen geben; diese richten sich vielmehr je nach den Umständen des Einzelfalles. Ohne Anspruch auf Vollständigkeit kommen je nach Lage des Falles insbesondere folgende Maßnahmen in Frage:

- (1) Arbeitsrechtliche Konsequenzen, wie insbesondere
  - Abmahnung,
  - außerordentliche Kündigung,
  - ordentliche Kündigung,
  - Vertragsauflösung;
- (2) Beamtenrechtliche Konsequenzen, wie insbesondere Disziplinarmaßnahmen;
- (3) Akademische Konsequenzen, wie insbesondere
  - Entzug von akademischen Graden bzw. der Lehrbefugnis,
  - Information von außeruniversitären wissenschaftlichen Einrichtungen und Vereinigungen,
  - Verlangen zur Rückziehung von wissenschaftlichen Veröffentlichungen;
  - Bei wissenschaftlichem Fehlverhalten i. S. d. Ziff. 7 Abs. (1) lit. (c)(iii) 2. Alt. kann den anderen Wissenschaftlern die Publikation gestattet werden, wenn die Obstruktion zur Überzeugung der Ombudsperson feststeht. Der Sachverhalt ist in der Publikation einschließlich der Publikationsgestattung offenzulegen.
- (4) Zivilrechtliche Konsequenzen, wie insbesondere
  - Erteilung eines Hausverbots,
  - Herausgabeansprüche gegen die Betroffenen, wie etwa im Hinblick auf entwendetes wissenschaftliches Material,
  - Beseitigungs- und Unterlassungsansprüche aus Urheberrecht, Persönlichkeitsrechtsverletzungen, Patentrecht und Wettbewerbsrecht,
  - Rückforderungsansprüche (etwa von Stipendien, Drittmitteln oder dergleichen),
  - Schadensersatzansprüche der Universität oder von Dritten bei Personenschäden, Sachschäden oder dergleichen;
- (5) Strafrechtliche Konsequenzen, wie insbesondere Strafanzeige oder Strafantrag, wobei solche in Betracht kommen, wenn der Verdacht besteht, dass wissenschaftliches Fehlverhalten zugleich einen Tatbestand des Strafgesetzbuchs (StGB) bzw. sonstiger Strafnahmen oder Ordnungswidrigkeiten erfüllt, wie insbesondere bei
  - Urheberrechtsverletzungen,
  - Urkundenfälschungen (einschließlich Fälschung technischer Aufzeichnungen),
  - Sachbeschädigungen (einschließlich Datenveränderungen),



- Eigentums- und Vermögensdelikten (wie im Falle von Entwendungen, Erschleichung von Fördermitteln oder Veruntreuung),
  - Verletzungen des persönlichen Lebens- oder Geheimnisbereichs (wie etwa durch Ausspähen von Daten oder Verwertung fremder Geheimnisse),
- (6) Lebens- oder Körperverletzung (wie etwa von Probanden oder Probandinnen infolge von falschen Daten).

**Governance Executive Summary**  
**Action Item**

Agenda Title: **Proposal from the Faculty of Graduate Studies and Research for Program Changes to the Master’s and Doctoral Programs in Secondary Education, Faculty of Education**

**Motion:** THAT the GFC Academic Planning Committee approve, with delegated authority from General Faculties Council, the proposed changes to existing Master’s and Doctoral programs in Secondary Education, as submitted by the Faculty of Education and the Faculty of Graduate Studies & Research, as set forth in Attachment 1, to take effect upon approval and published in the 2019-2020 University Calendar

**Item**

|                  |  |
|------------------|--|
| Action Requested | <input checked="" type="checkbox"/> Approval <input type="checkbox"/> Recommendation   |
| Proposed by      | Jennifer Tupper, Dean, Faculty of Education<br>Deborah Burshtyn, Interim Dean and Vice Provost, Faculty of Graduate Studies and Research           |
| Presenter(s)     | Bonita Watt, Associate Chair, Department of Secondary Education<br>Janice Causgrove Dunn, Associate Dean, Faculty of Graduate Studies and Research |

**Details**

|   |   |
|---|---|
| Responsibility  | Provost and Vice-President (Academic)   |
| The Purpose of the Proposal is<br><i>(please be specific)</i>                       | To ensure that all program requirement for the Master and Doctoral programs in the Faculty of Education are reflected in the University Calendar.   |
| Executive Summary<br><i>(outline the specific item– and remember your audience)</i> | <p>In 2017/18, the Faculty of Graduate Studies and Research embarked on a project to ensure that the regulations and requirements of all graduate programs were appropriately reflected in the University Calendar.</p> <p>Historically, this information was contained in annually approved departmental guidelines and, with the increased use of websites, much of this information moved over to that platform. It was recognized that websites provide accessibility for students and flexibility for programs; however, as a means of tracking date sensitive information, websites are not considered to be ideal. As such, all graduate programs are reviewing their documents and will be coming forward with additions and modifications to Calendar entries to ensure compliance with the FGSR guidelines.</p> <p>The Master of Education, EdD and PhD in Secondary Education calendar revisions reflect current practice as published in the Department of Secondary Education Graduate Program Handbook 2018-2019 and are highlighted in yellow in Attachment 1.</p> <p>The entire proposal as submitted has received Faculty of Education approval. FGSR delegated authority to teaching Faculty for program changes.</p> |
| Supplementary Notes and context   | <p>All revisions to entrance requirements and/or academic standing will be considered for approval by the Academic Standards Committee, with delegated authority from GFC, on October 18, 2018.</p> <p>The Specialization in Technology in Education is a second level</p>  |

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|  |  |
|--|--|
|  | specialization, approved by the Dean of the Faculty of Graduate Studies & Research in 2008, with delegated authority, and is now being added for publication in the 2019-2020 University Calendar. |
|--|--|

**Engagement and Routing** (Include meeting dates)

|   |   |
|---|---|
| Consultation and Stakeholder Participation<br>(parties who have seen the proposal and in what capacity)<br><br><For information on the protocol see the <a href="#">Governance Toolkit section Student Participation Protocol</a> > | <u><i>Those who are actively participating:</i></u> <ul style="list-style-type: none"> <li>• Cathy Adams</li> <li>• Elaine Simmt, Associate Dean, Faculty of Education</li> <li>• Van Dam, Prospective Graduate Students Advisor &amp; EA to Associate Dean (Graduate Studies), Faculty of Education</li> </ul> |
|   | <u><i>Those who have been consulted:</i></u> <ul style="list-style-type: none"> <li>• Maria Chia (Graduate Calendar project specialist), Janice Hurlburt, Graduate Governance and Policy Coordinator, Faculty of Graduate Studies and Research</li> </ul>   |
|   | <u><i>Those who have been informed:</i></u>   |
| Approval Route (Governance)<br>(including meeting dates)  | Graduate Academic Affairs Committee October 1, 2018 (with delegated authority from Education Faculty Council)<br>GFC ASC-SOS, October 4, 2018<br>GFC ASC, October 18, 2018<br>GFC Academic Planning Committee (for program requirements)  |

**Strategic Alignment**

|   |  |
|---|--|
| Alignment with <i>For the Public Good</i>   | <b>OBJECTIVE 21:</b><br>Encourage continuous improvement in administrative, governance, planning and stewardship systems, procedures, and policies that enable students, faculty, staff, and the institution as a whole to achieve shared strategic goals. |
| Alignment with Institutional Risk Indicator | Student Success  |
| Legislative Compliance and jurisdiction     | Post-Secondary Learning Act (PSLA)<br>UAPPOL Admissions Policy<br>UAPPOL Academic Standing Policy<br>GFC Academic Standards Committee (ASC) Terms of Reference<br>GFC Academic Planning Committee (APC) Terms of Reference                                 |

Attachments (each to be numbered 1 - <>)

1. Secondary Education graduate programs, Calendar change request

*Prepared by:* Janice Hurlburt, Graduate Governance and Policy Coordinator, [jhurlbur@ualberta.ca](mailto:jhurlbur@ualberta.ca)

Killam Centre for Advanced Studies  
2-29 Triffo Hall Edmonton AB Canada T6G 2E1  
Tel: 780.492.2816 / Fax: 780.492.0692  
www.gradstudies.ualberta.ca

Highlighted sections for review/approval by Academic Planning Committee (APC)

**2019-2020 University of Alberta Proposed Calendar Graduate Program Changes:**

| Current  | Proposed  |
|--|---|
| <p><b>Secondary Education [Graduate]</b><br/>Department of Secondary Education<br/>551 Education South<br/>University of Alberta<br/>Edmonton, Alberta T6G 2G5<br/>E-mail: edsegrad@ualberta.ca<br/>uab.ca/secondary</p> <p><b>General Information</b><br/>The Department of Secondary Education offers programs leading to the Master of Education, Doctor of Philosophy and Doctor of Education degrees. Graduate instruction in these programs is designed to develop competencies as master teachers, educators in the specific disciplines, curriculum and instruction specialists, and curriculum and instruction scholars.</p> <p>Graduate programs in the Department normally include advanced studies in the following areas: curriculum studies, curriculum perspectives, modes of inquiry, aboriginal and indigenous studies, career and technology studies (CTS), English language arts education, fine arts and media education, mathematics education, physical and health education, research methodologies, science education, second language and ESL, social studies education, teacher education, and technology in education (interdepartmental MEd). Programs of an interdisciplinary nature are possible. Programs for each student are designed in consultation with an advisor or supervisor.</p> <p>Before applying for admission, it is strongly recommended that applicants ascertain whether the intended area of study is congruent with those of the department. It is also recommended that prospective students contact professors in their area of interest to determine availability and interest. This information may be found at the Department of Secondary Education's web page (uab.ca/secondary).</p> <p>Applications for admission are conducted on line through</p> | <p><b>Secondary Education [Graduate]</b><br/>Department of Secondary Education<br/>551 Education South<br/>University of Alberta<br/>Edmonton, Alberta T6G 2G5<br/>E-mail: edsegrad@ualberta.ca<br/>uab.ca/secondary</p> <p><b>General Information</b><br/>The Department of Secondary Education offers programs leading to the Master of Education, <u>Master of Education with a Specialization in Technology in Education</u>, Doctor of Philosophy and Doctor of Education degrees. Graduate instruction in these programs is designed to develop competencies as master teachers, educators in the specific disciplines, curriculum and instruction specialists, and curriculum and instruction scholars.</p> <p>Graduate programs in the Department normally include advanced studies in the following areas: curriculum studies, curriculum perspectives, modes of inquiry, aboriginal and indigenous studies, career and technology studies (CTS), English language arts education, fine arts and media education, mathematics education, physical and health education, research methodologies, science education, second language and ESL, social studies education, teacher education, and technology in education (interdepartmental MEd). Programs of an interdisciplinary nature are possible. Programs for each student are designed in consultation with an advisor or supervisor.</p> <p>Before applying for admission, it is strongly recommended that applicants ascertain whether the intended area of study is congruent with those of the department. It is also recommended that prospective students contact professors in their area of interest to determine availability and interest. This information may be found at the Department of Secondary Education's web page (uab.ca/secondary).</p> <p>Applications for admission are conducted on line through</p> |

the Faculty of Graduate Studies and Research web page ([www.gradstudies.ualberta.ca](http://www.gradstudies.ualberta.ca))

### Entrance Requirements

The Department's minimum admission requirements for the master's program are an undergraduate degree with an average of 3.0 in the last two years of undergraduate work (or graduate work) at the University of Alberta, or an equivalent qualification from a recognized institution, and two years teaching experience or equivalent.

Admission requirements for the doctoral programs are an approved master's degree with an average of at least 3.5 or equivalent.

In addition, it is highly recommended that applicants have two years teaching experience or equivalent experience in a formal or informal educational context.

In the case of both master's and doctoral programs, international applicants from non-English speaking institutions must have a minimum TOEFL score of 580 (paper-based), 237 (computer-based), or a total score of 93 with a score of at least 24 on speaking and writing and 20 on reading and listening (internet-based). Other acceptable examinations include IELTS with a minimum overall band score of 7.0, with at least 6.5 on each band; MELAB with a minimum score of 90; CAEL with an overall minimum score of 70, with at least 60 on each subtest; or PTE (Academic) with an overall minimum score of 64.

the Faculty of Graduate Studies and Research web page ([www.gradstudies.ualberta.ca](http://www.gradstudies.ualberta.ca))

Additional information about graduate programs, policies, and procedures can be found in the Department of Secondary Education's Graduate Student Handbook.

### Entrance Requirements

For master's programs, the Department's minimum admission requirements are an undergraduate degree with an admission GPA of at least 3.0 on the 4-point scale from the University of Alberta, or an equivalent qualification and standing from a recognized institution. The admission GPA will be calculated on the last ★60 of graded coursework completed, or on the equivalent of the last two years of full-time graded coursework.

It is recommended that applicants identify an academic advisor at the time of application. Two years teaching experience or equivalent are also required.

For doctoral programs, the Department's minimum admission requirements are a master's degree with an admission GPA of at least 3.5 on the 4-point scale from the University of Alberta, or an equivalent qualification and standing from a recognized institution. The admission GPA will be calculated on the last ★60 of graded coursework completed, or on the equivalent of the last two years of full-time graded coursework.

Applicants are required to identify a potential supervisor at the time of application. It is highly recommended that applicants have two years teaching experience or equivalent experience in a formal or informal educational context.

Where applicable, applicants must provide proof of English Language Proficiency (refer to [English Language Requirement](#)). Any one of the following is acceptable:

- a minimum TOEFL score of 237 (computer-based), or a total score of 93 with a score of at least 24 on speaking and writing and 20 on reading and listening (internet-based), or equivalent;
- IELTS with a minimum overall band score of 7.0, with at least 6.5 on each band;
- MELAB with a minimum score of 90;
- CAEL with an overall minimum score of 70, with at least 60 on each subtest;
- PTE (Academic) with an overall minimum score of 64.

A current curriculum vitae, a statement of intent, and three letters of reference are also required. Further

details about applying for programs can be found on the Department of Secondary Education [website](#).

### **Application Deadlines**

For Fall (September) or Summer (July) admissions, the following deadlines apply:

PhD and EdD: November 1 for funding and scholarship consideration

PhD and EdD: February 1 without funding

MEd (course-based): March 1

MEd (thesis-based): March 1

### **Financial Assistance**

A number of graduate assistantships are available to qualified candidates for the EdD or PhD in Secondary Education for services rendered in the Department's research and teaching programs. These assistantships do not provide full support.

There are a number of financial supports available to students through fellowships, scholarships, and awards through the Faculty of Education, the Faculty of Graduate Studies and Research (FGSR), and the Graduate Students Association.

### **Graduate Program Requirements**

#### **The Degree of MEd (Secondary Education) [Graduate]**

Both thesis-based and course-based Master of Education programs are available through the Department.

#### **Program Requirements**

##### **Course-based MEd**

Students in the course-based MEd program normally must successfully complete ★27 of graduate-level courses and a final research/capping exercise (equivalent to ★3) for a total of ★30.

##### **Required Courses (★9):**

- EDSE 503 Curriculum Foundations
- EDSE 504 Curriculum Inquiry
- EDSE 510 Research Methods in Secondary Education

##### **Elective Courses (★18):**

- Students will take six ★3 Elective Courses. Elective Courses in the course-based MEd program will be determined in consultation with

### **Financial Assistance**

A number of graduate assistantships are available to qualified candidates for the EdD or PhD in Secondary Education for services rendered in the Department's research and teaching programs. These assistantships do not provide full support.

### **Graduate Program Requirements**

#### **The Degree of MEd (Secondary Education) [Graduate]**

Both thesis-based and course-based Master of Education programs are available through the Department.

#### **Program Requirements**

Students in the course-based MEd program normally must successfully complete ★27 of graduate-level courses and a final capping exercise (equivalent to ★3).

Students in the thesis-based MEd program normally must successfully complete ★21 of graduate-level courses, as well as preparing and defending a thesis.

the academic advisor with consideration for student's academic background and requirements for the proposed capping exercise.

- The number of Individual Study (EDSE 502) courses that can be taken is limited to ★3 per semester and ★6 per program.

#### **Capping Exercise**

- EDSE 900 (Research/Capping Exercise)

#### **Ethics requirement for course-based MEd**

Completion of ethics training hours. Department Ethics component (equivalent to 8 hours) through successful completion of EDSE 510 and EDSE 900 plus FGSR component.

#### **Thesis-based MEd**

Students in the thesis-based MEd program normally must successfully complete ★21 of graduate-level courses, as well as preparing and defending a thesis.

#### **Required Courses (★12):**

- EDSE 503 Curriculum Foundations
- EDSE 504 Curriculum Inquiry
- EDSE 510 Research Methods in Secondary Education
- EDSE 511- Research Design in Secondary Education

#### **Elective Courses (★9):**

- Students will take three ★3 Elective Courses. Elective Courses in the thesis-based MEd program will be determined in consultation with the supervisor with consideration for the student's academic background and proposed thesis.
- The number of Individual Study (EDSE 502) courses that can be taken is limited to ★3 per semester and ★6 per program.

#### **Thesis**

- Registration in 900-level THES.

#### **Ethics requirement for thesis-based MEd**

Completion of ethics training hours. Department Ethics component (equivalent to 8 hours) through successful completion of EDSE 510 and EDSE 511 plus FGSR component.

There is no formal residency requirement for the course-based MEd. A period of residence of one academic year (fall and winter terms) is recommended for the thesis-based program.

### **Length of Program**

The time taken to complete the program will vary according to the education and experience of the applicant and the nature of the research undertaken. A minimum of two years is usually required. ~~The maximum time allowed for completion of MEd programs is four years for the thesis-based program and six years for the course-based program.~~

### **Residence Requirement**

There is no formal residency requirement for the course-based MEd. A period of residence of one academic year (fall and winter terms) is recommended for the thesis-based program.

### **Length of Program**

The time taken to complete the program will vary according to the education and experience of the applicant and the nature of the research undertaken. A minimum of two years is usually required.

The maximum time to complete the course-based MEd program as set by the Faculty of Graduate Studies and Research is six years.

The maximum time to complete the thesis-based MEd program as set by the Faculty of Graduate Studies and Research is four years.

### **The Degree of MEd with Specialization in Technology in Education (Secondary Education) [Graduate]**

Both thesis-based and course-based Master of Education programs with a Specialization in Technology in Education are available through the Department.

### **Program Requirements**

#### **Course-based MEd**

Students in the course-based MEd program normally must successfully complete ★27 of graduate-level courses and a final research/capping exercise (equivalent to ★3) for a total of ★30.

#### **Required Courses (★12):**

- EDSE 503 Curriculum Foundations
- EDSE 504 Curriculum Inquiry
- EDSE 510 Research Methods in Secondary Education
- EDU 575 - Theory and Practice in Educational Technology

#### **Elective Courses (★15):**

- Students will take two ★3 Technology Elective Courses, at least one of which must be an EDSE 5XX course. Students will also take another three ★3 Elective Courses. Courses will be determined in consultation with the academic advisor with consideration for student's academic background and requirements for the proposed capping



exercise.

- The number of Individual Study (EDSE 502) courses that can be taken is limited to ★ 3 per semester and ★ 6 per program.

#### **Capping Exercise**

- EDSE 900 (Research/Capping Exercise)

#### **Ethics requirement for course-based MEd**

Completion of ethics training hours. Department Ethics component (equivalent to 8 hours) through successful completion of EDSE 510 and EDSE 900 plus FGSR component.

#### **Thesis-based Program**

Students in the thesis-based MEd program normally must successfully complete ★ 21 of graduate-level courses, as well as preparing and defending a thesis.

#### **Required Courses (★ 15):**

- EDSE 503 - Curriculum Foundations
- EDSE 504 - Curriculum Inquiry
- EDSE 510 - Research Methods in Secondary Education
- EDU 575 - Theory and Practice in Educational Technology
- EDSE 511- Research Design in Secondary Education

#### **Elective Courses (★ 6):**

- Students will take two ★ 3 Technology Elective Courses, at least one of which must be an EDSE 5XX course. Courses will be determined in consultation with the supervisor with consideration for the student's academic background and proposed thesis.
- The number of Individual Study (EDSE 502) courses that can be taken is limited to ★ 3 per semester and ★ 6 per program.

#### **Thesis**

- Registration in 900-level THES

#### **Ethics requirement for thesis-based MEd**

Completion of ethics training hours. Department Ethics component (equivalent to 8 hours) through successful completion of EDSE 510 and EDSE 511 plus FGSR component.

#### **Residence Requirement**

There is no formal residency requirement for the course-

## The Degrees of EdD and PhD (Secondary Education) [Graduate]

### Program Requirements

The EdD and PhD programs normally consist of coursework and the preparation and defense of a dissertation on an approved topic.

based MEd. A period of residence of one academic year (fall and winter terms) is recommended for the thesis-based program.

### **Length of Program**

The time taken to complete the program will vary according to the education and experience of the applicant and the nature of the research undertaken. A minimum of two years is usually required. The maximum time allowed for completion of MEd programs is four years for the thesis-based program and six years for the course-based program.

## The Degrees of EdD and PhD (Secondary Education) [Graduate]

### Program Requirements

The EdD and PhD programs normally consist of a **minimum of ★21 of graduate-level courses** and the preparation and defense of a dissertation on an approved topic.

### **Required courses (★6):**

- **EDSE 610 - Advanced Research Seminar in Secondary Education I**
- **EDSE 620 - Advanced Research Seminar in Secondary Education II**
- **In addition, students who have not completed EDSE 503 and EDSE 504 (or equivalent) prior to admission are expected to take these courses as a component of their doctoral program.**

### **Elective courses (★15):**

- **Five additional ★3 courses are selected by the student in consultation with the program supervisor.**
- **The number of Individual Study (EDSE 602) courses that can be taken is limited to ★3 per semester and ★6 per program.**

### **Thesis**

- **Registration in 900-level THES**

### **Doctoral candidacy examination:**

**Students must prepare and orally defend a written candidacy paper outlining the proposed study and reviewing the relevant research and theory.**

The minimum period of residency for the EdD program is 12 continuous months of full-time study at the University of Alberta. The PhD program requires two academic years of full-time attendance to meet the residence requirement; ~~this involves four (four-month) terms of full-time study.~~

### **Length of Program**

The time taken to complete the EdD or PhD program will vary with the individual candidate. A minimum of two years of full-time study and research is usually required. ~~The maximum time allowed for completion of a doctoral program is six years.~~

### **Courses for Graduate Credit**

Graduate courses can be found in [Course Listings](#), under the subject heading Secondary Education (EDSE, EDES, and EDCT).

Final Doctoral Examination: Doctoral students must complete a thesis and this thesis must be successfully defended. See the Faculty of Graduate Studies and Research's website for information on required components and formatting of the thesis.

### **Ethics Requirement**

Completion of Ethics training hours. Department ethics component (equivalent to 8 hours) through successful completion of EDSE 610 and EDSE 610, plus FGSR component.

### **Residence Requirement**

The minimum period of residency for the EdD program is 12 continuous months of full-time study at the University of Alberta. The PhD program requires two academic years of full-time attendance to meet the residence requirement.

### **Length of Program**

The time taken to complete the EdD or PhD program will vary with the individual candidate. A minimum of two years of full-time study and research is usually required.

The maximum time to complete doctoral programs as set by the Faculty of Graduate Studies and Research is six years.

### **Graduate Courses**

Graduate courses can be found in [Course Listings](#), under the subject heading Secondary Education (EDSE, EDES, and EDCT).

### **Justification:**

- Ensuring all entrance requirements are in the calendar, including required documentation
- Adding application deadlines

**Approved by:** GAAC October 1, 2018

**Governance Executive Summary  
Action Item**

Agenda Title: **Proposal from the Faculty of Graduate Studies and Research for Program Changes to the MSc programs in Medical Sciences - Dental Hygiene, Dentistry, Oral Biology, Oral Medicine, Orthodontics, Periodontology, and PhD programs in Medical Sciences - Dentistry, Oral Biology, Orthodontics, Periodontology, in the Faculty of Medicine and Dentistry**

**Motion:** THAT the GFC Academic Planning Committee approve, with delegated authority from General Faculties Council, the proposed changes to existing MSc and PhD programs in the Department of Dentistry, as submitted by the Faculty of Medicine and Dentistry, and the Faculty of Graduate Studies & Research, as set forth in Attachment 1, to take effect upon approval.

**Item**

|                  |  |
|------------------|--|
| Action Requested | <input checked="" type="checkbox"/> Approval <input type="checkbox"/> Recommendation   |
| Proposed by      | Debby Burshtyn, Interim Dean and Vice Provost, Faculty of Graduate Studies and Research<br>Richard N. Fedorak, Dean, Faculty of Medicine and Dentistry |
| Presenter(s)     | Carlos Flores Mir, Professor, Faculty of Medicine and Dentistry<br>Janice Causgrove Dunn, Associate Dean, Faculty of Graduate Studies and Research     |

**Details**

|  |   |
|--|---|
| Responsibility   | Provost and Vice-President (Academic)   |
| The Purpose of the Proposal is <i>(please be specific)</i>                       | To ensure that all program requirement for the MSc and PhD programs in the Department of Dentistry are reflected in the University Calendar.  |
| Executive Summary <i>(outline the specific item– and remember your audience)</i> | <p>In 2017/18, the Faculty of Graduate Studies and Research embarked on a project to ensure that the regulations and requirements of all graduate programs were appropriately reflected in the University Calendar.</p> <p>Historically, this information was contained in annually approved departmental guidelines and, with the increased use of websites, much of this information moved over to that platform. It was recognized that websites provide accessibility for students and flexibility for programs; however, as a means of tracking date sensitive information, websites are not considered to be ideal. As such, all graduate programs are reviewing their documents and will be coming forward with additions and modifications to Calendar entries to ensure compliance with the FGSR guidelines.</p> <p>The Master of Science in Medical Sciences - Dental Hygiene, - Dentistry, - Oral Biology, - Oral Medicine, - Orthodontics and - Periodontology, and the PhD in Medical Sciences - Dentistry, - Oral Biology, and - Orthodontics calendar revisions reflect current practice as published in the Graduate Studies Manual in the Department of Dentistry and are highlighted in yellow in Attachment 1.</p> <p>The entire proposal as submitted has received approval by the FoMD Faculty Learning Committee, with delegated authority from FoMD Faculty Council. FGSR has delegated authority to teaching Faculty for program changes.</p> |

Item No. 7

|                                 |  |
|---------------------------------|--|
| Supplementary Notes and context | <p>All revisions to entrance requirements and/or academic standing were considered and approved by the Academic Standards Committee, with delegated authority from GFC, on September 20, 2018.</p> <p>Changes to the PhD in Medical Sciences – Periodontology are considered to minor program changes which are approved by the teaching Faculty and circulated for information.</p> |
|---------------------------------|--|

**Engagement and Routing** (Include meeting dates)

|  |   |
|--|---|
| <p>Consultation and Stakeholder Participation (parties who have seen the proposal and in what capacity)</p> <p>&lt;For information on the protocol see the <a href="#">Governance Toolkit section Student Participation Protocol</a>&gt;</p> | <p><u><i>Those who are actively participating:</i></u></p> <ul style="list-style-type: none"> <li>Patrick Flood, Graduate Coordinator, Faculty of Medicine and Dentistry</li> <li>Kaitlyn Sears, Acting Graduate Studies Administrator</li> </ul> <p><u><i>Those who have been consulted:</i></u></p> <ul style="list-style-type: none"> <li>Maria Chia (Graduate Calendar project specialist), Janice Hurlburt, Graduate Governance and Policy Coordinator</li> </ul> <p><u><i>Those who have been informed:</i></u></p> |
| Approval Route (Governance) (including meeting dates)  | <p>Department Council – June 6, 2018<br/>         Medical Sciences – June 12, 2018<br/>         FoMD Graduate Studies Committee – June 18, 2018<br/>         FoMD Faculty Learning Committee – July 11, 2018<br/>         FoMD Faculty Council (for information) – July 24, 2018<br/>         GFC ASC-SOS (for discussion) - September 6, 2018<br/>         GFC ASC - September 20, 2018<br/>         GFC Academic Planning Committee (for program requirements) – October 10, 2018</p>                                   |

**Strategic Alignment**

|   |   |
|---|---|
| Alignment with <i>For the Public Good</i>   | <p>OBJECTIVE 21:<br/>         Encourage continuous improvement in administrative, governance, planning and stewardship systems, procedures, and policies that enable students, faculty, staff, and the institution as a whole to achieve shared strategic goals.</p>      |
| Alignment with Institutional Risk Indicator | Student Success   |
| Legislative Compliance and jurisdiction     | <p>Post-Secondary Learning Act (PSLA)<br/>         UAPPOL Admissions Policy<br/>         UAPPOL Academic Standing Policy<br/>         GFC Academic Standards Committee (ASC) Terms of Reference<br/>         GFC Academic Planning Committee (APC) Terms of Reference</p> |

Attachments (each to be numbered 1 - <>)

1. Dentistry graduate programs, Calendar change request

Prepared by: Maria Chia (Graduate Calendar project specialist) [mchia@ualberta.ca](mailto:mchia@ualberta.ca)

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 www.gradstudies.ualberta.ca

**Highlighted sections for review/approval by Academic Planning Committee (APC)**

**2019-2020 University of Alberta Proposed Calendar Graduate Program Changes:**

| Current  | Proposed   |
|--|--|
| <p><b>Graduate Programs</b></p> <p><b>Dentistry [Graduate]</b><br/>           Department of Dentistry<br/>           5th Floor, Edmonton Clinic Health Academy<br/>           University of Alberta<br/>           Edmonton, Alberta T6G 1C9<br/>           E-mail: dentistry.gradstudies@ualberta.ca<br/>           www.dent.ualberta.ca</p> <p><b>General Information</b><br/>           The Department of Dentistry offers the MSc and PhD in Medical Sciences degrees (see Medical Sciences) for post-DDS applicants or for those proceeding from a BSc or equivalent degree. Research may be carried out in a variety of dentistry-related disciplines for which faculty members in the department have active research programs. Inquiries should be directed to the Graduate Programs Administrator, Department of Dentistry (www.dent.ualberta.ca).</p> <p>The Department offers the MSc in Medical Sciences program in the following areas of specialty: Dental Hygiene, Dentistry, Oral Biology, Orthodontics, Oral Medicine, and Periodontology. The PhD programs are offered in Dentistry, Oral Biology, Orthodontics and Periodontology.</p> <p>Application for admission should be directed to the University of Alberta's Online Graduate Application.</p> <p><b>Entrance Requirements</b></p> <p>[listed below in each program under Entrance Requirements]<br/>           The Department's normal requirements for admission of graduate students are a minimum of 3.0 or equivalent GPA during the last two years of an undergraduate or</p> | <p><b>Graduate Programs</b></p> <p><b>Dentistry [Graduate]</b><br/>           Department of Dentistry<br/>           5th Floor, Edmonton Clinic Health Academy<br/>           University of Alberta<br/>           Edmonton, Alberta T6G 1C9<br/>           E-mail: dentistry.gradstudies@ualberta.ca<br/>           www.dent.ualberta.ca</p> <p><b>General Information</b><br/>           The Department of Dentistry offers the MSc and PhD in Medical Sciences degrees (see Medical Sciences) for post-DDS applicants or for those proceeding from a BSc or equivalent degree. Research may be carried out in a variety of dentistry-related disciplines for which faculty members in the department have active research programs. Inquiries should be directed to the Graduate Programs Administrator, Department of Dentistry (www.dent.ualberta.ca).</p> <p>The Department offers the MSc in Medical Sciences program in the following areas of specialty: Dental Hygiene, Dentistry, Oral Biology, <u>Oral Medicine</u>, <u>Orthodontics</u>, and Periodontology. The PhD programs are offered in Dentistry, Oral Biology, Orthodontics and Periodontology.</p> <p>Application for admission should be directed to the University of Alberta's Online Graduate Application.</p> <p><b>Entrance Requirements</b><br/>           The Department's <u>minimum admission</u> requirements are listed below by program.</p> |

graduate degree at the University of Alberta, or equivalent qualification from another institution, and a TOEFL score of at least 580 (paper-based) or 95 with at least 20 per section (Internet-based), or a MELAB minimum score of 91; or a CAEL minimum score of 70 with at least 70 on each subtest; or an IELTS (Academic) minimum score of 7.5 with at least 6 on each band, where applicable (see English Language Requirement). Admission is dependent upon the recommendation of the Department of Dentistry's Graduate Committee and the Medical Sciences Graduate Program Committee. In addition, the applicant's curriculum vitae, previous research experience, letters of recommendation and statement of intent will be considered for the admission decision. Other facts would be considered on a case per case basis. All short listed PhD applicants will be interviewed by representatives of the Department's Graduate Studies Committee.

### **Financial Assistance**

Although funding from fellowships and studentships may be available on a competitive basis candidates should be prepared financially for the program. Supervisors may support students from operating grants and limited financial assistance may also be available from the Department. Other sources of funding may be sought as described in the Graduate Financial Aid and Awards sections of the University Calendar, from provincial bursaries, from professional associations and private foundations, etc.

[moved up from MSc Oral Medicine program requirements]

### **Financial Assistance**

Oral Medicine students receive a stipend for a 36-month period. Funding from other sources may be available on a competitive basis.

### **Graduate Program Requirements**

The program of study and professional development requirements are determined by the department in consultation with the supervisor and the supervisory committee.

### **The Degree of MSc in Medical Sciences - Dentistry, in Medical Sciences - Dental Hygiene and in Medical Sciences - Oral Biology [Graduate]**

### **General Information**

The Department of Dentistry offers the degree of MSc in Medical Sciences - ~~Dentistry, in Medical Sciences - Dental Hygiene, and in Medical Sciences - Oral Biology.~~

### **Financial Assistance**

For all students **except** those in the MSc in Medical Sciences - Oral Medicine, funding from fellowships and studentships may be available on a competitive basis, but candidates should be prepared financially for the program. Supervisors may support students from operating grants and limited financial assistance may also be available from the Department. Other sources of funding may be sought as described in the Graduate Financial Aid and Awards sections of the University Calendar, from provincial bursaries, from professional associations and private foundations, etc.

Students in the MSc in Medical Sciences - Oral Medicine may receive financial assistance for a 36-month period. Funding from other sources may be available on a competitive basis.

### **Graduate Program Requirements**

### **The Degree of MSc in Medical Sciences - Dental Hygiene [Graduate]**

The Department of Dentistry offers the degree of MSc in Medical Sciences - Dental Hygiene as a research-based program. This is not a clinical training program.

The program of study and professional development requirements are determined by the department in consultation with the supervisor and the supervisory committee. The general description for the MSc program is as presented for all MSc programs in Medical Sciences (see Medical Sciences).

This program has an open deadline, applications are accepted for September or January admission. The application deadlines are May 1 for Fall Term and July 1 for Winter Term admission.

[moved down from Entrance Requirements]

The Department's normal requirements for admission of graduate students are a minimum of 3.0 or equivalent GPA during the last two years of an undergraduate or graduate degree at the University of Alberta, or equivalent qualification from another institution,

and a TOEFL score of at least 580 (paper-based) or 95 with at least 20 per section (Internet-based), or a MELAB minimum score of 91; or a CAEL minimum score of 70 with at least 70 on each subtest; or an IELTS (Academic) minimum score of 7.5 with at least 6 on each band, where applicable (see English Language Requirement). Admission is dependent upon the recommendation of the Department of Dentistry's Graduate Committee and the Medical Sciences Graduate Program Committee. In addition, the applicant's curriculum vitae, previous research experience, letters of recommendation and statement of intent will be considered for the admission decision. Other facts would be considered on a case per case basis. All short listed PhD applicants will be interviewed by representatives of the Department's Graduate Studies Committee.

## Entrance Requirements

The Department's minimum admission requirements are an undergraduate degree with an average of 3.0 on a four-point scale in the last ★60 or two years of undergraduate or graduate work at the University of Alberta, or an equivalent qualification from a recognized institution. The undergraduate degree does not have to be in Dental Hygiene.

Where applicable, applicants must provide proof of English Language Proficiency (refer to [English Language Requirement](#)). Any one of the following is acceptable:

- TOEFL (paper-based) minimum score 580;
- TOEFL (internet-based) minimum score 95 with at least 20 per section;
- MELAB minimum score of 91;
- CAEL minimum score of 70 with at least 70 on each subtest;
- or an IELTS (Academic) minimum score of 7.5 with at least 6 on each band.

Applicants are also required to submit the following:

- a current curriculum vitae
- a statement of intent
- three letters of recommendation (two must be professional)
- Applicants must identify a willing faculty supervisor
- Applicants must identify a potential thesis topic
- Applicants must identify potential research funding in their application.

Admission is dependent upon the approval of the Department of Dentistry Graduate Studies Committee and the Medical Sciences Graduate Program Committee.

For the MSc in Medical Sciences – Dental Hygiene applications are always open. Applications received by March 1 will receive preference for Fall Term (September) admission. Applications received by June 1 will receive preference for Winter Term (January) admission.



The program of study and professional development requirements are determined by the department in consultation with the supervisor and the supervisory committee.

[moved down from Entrance Requirements]  
The Department's normal requirements for admission of graduate students are a minimum of 3.0 or equivalent

### **Program Requirements**

Students are required to complete a minimum of ★9 in graded coursework, consisting of ★6 in required courses and ★3 in elective courses. The program of study is determined by the supervisor.

Student progress will be monitored through an oral and written assessment and an interview with the Graduate Program Director in the Spring term.

#### **Required courses (★6)**

- DENT 542 (★1)– Research Methodology or an equivalent research methods course
- DENT 543 (★3)– Introduction to Research Methods and Data Management
- DENT 601 (★2) – Seminars in Oral Health Sciences or an equivalent seminar course.

#### **Elective courses (★3)**

- Students must complete ★3 in graduate-level courses chosen in consultation with their supervisor.

#### **Thesis**

- Registration in 900-level THES. Students are required to complete and defend a thesis.

#### **Seminars**

Students have an attendance requirement for the Discover Dental Sciences seminars and to participate in the Graduate Student Research Day.

#### **Length of Program**

The time required to complete the MSc will vary according to the previous training of the applicant and the nature of the research undertaken; however, a maximum of three years is considered normal.

The maximum time permitted to complete the program as set by the Faculty of Graduate Studies and Research is four years.

### **The Degree of MSc in Medical Sciences - Dentistry [Graduate]**

The Department of Dentistry offers the degree of MSc in Medical Sciences - Dentistry as a research-based program.

### **Entrance Requirements**

The Department's minimum admission requirements are an undergraduate degree with an average of 3.0 on a four-point scale in the last ★60 or two years of undergraduate

~~GPA during the last two years of an undergraduate or graduate degree at the University of Alberta, or equivalent qualification from another institution,~~

~~and a TOEFL score of at least 580 (paper-based) or 95 with at least 20 per section (Internet-based), or a MELAB minimum score of 91; or a CAEL minimum score of 70 with at least 70 on each subtest; or an IELTS (Academic) minimum score of 7.5 with at least 6 on each band, where applicable (see English Language Requirement). Admission is dependent upon the recommendation of the Department of Dentistry's Graduate Committee and the Medical Sciences Graduate Program Committee. In addition, the applicant's curriculum vitae, previous research experience, letters of recommendation and statement of intent will be considered for the admission decision. Other facts would be considered on a case per case basis. All short listed PhD applicants will be interviewed by representatives of the Department's Graduate Studies Committee.~~

or graduate work at the University of Alberta, or an equivalent qualification from a recognized institution.

Where applicable, applicants must provide proof of English Language Proficiency (refer to [English Language Requirement](#)). Any one of the following is acceptable:

- TOEFL (paper-based) minimum score 580;
- TOEFL (internet-based) minimum score 95 with at least 20 per section;
- MELAB minimum score of 91;
- CAEL minimum score of 70 with at least 70 on each subtest;
- or an IELTS (Academic) minimum score of 7.5 with at least 6 on each band.

Applicants are also required to submit the following:

- a current curriculum vitae
- a statement of intent
- three letters of recommendation (two must be professional)
- Applicants must identify a willing faculty supervisor
- Applicants must identify a potential thesis topic
- Applicants must identify potential research funding in their application.

Admission is dependent upon the approval of the Department of Dentistry Graduate Studies Committee and the Medical Sciences Graduate Program Committee.

For the MSc in Medical Sciences – Dentistry applications are always open. Applications received by March 1 will receive preference for Fall Term (September) admission. Applications received by June 1 will receive preference for Winter Term (January) admission.

### **Program Requirements**

Students are required to complete a minimum of ★9 in coursework, consisting of ★6 in required courses and ★3 in elective courses. The program of study is determined by the program director and supervisor (where appropriate).

Student progress will be monitored through an oral and written assessment and an interview with the Graduate Program Coordinator in the Spring term.

#### **Required courses (★6)**

- DENT 542 (★1)– Research Methodology
- DENT 543 (★3)– Introduction to Research Methods and Data Management
- DENT 601 (★2) – Seminars in Oral Health Sciences

[moved down from Entrance Requirements]  
The Department's normal requirements for admission of graduate students are a minimum of 3.0 or equivalent GPA during the last two years of an undergraduate or graduate degree at the University of Alberta, or equivalent qualification from another institution,

and a TOEFL score of at least 580 (paper-based) or 95 with at least 20 per section (Internet-based), or a MELAB minimum score of 91; or a CAEL minimum score of 70 with at least 70 on each subtest; or an IELTS (Academic) minimum score of 7.5 with at least 6 on each band, where applicable (see English Language Requirement). Admission is dependent upon the recommendation of the Department of Dentistry's Graduate Committee and the Medical Sciences Graduate Program Committee. In addition, the applicant's curriculum vitae, previous research experience, letters of recommendation and statement of

#### Elective courses (★3)

- Students must complete ★3 in graduate-level courses chosen in consultation with the program director and their supervisor.

#### Thesis

- Registration in 900-level THES. Students are required to complete and defend a thesis.

#### Seminars

Students have an attendance requirement for the Discover Dental Sciences seminars and to participate in the Graduate Student Research Day.

#### Length of Program

The time required to complete the MSc will vary according to the previous training of the applicant and the nature of the research undertaken; however, a maximum of three years is considered normal.

The maximum time permitted to complete the program as set by the Faculty of Graduate Studies and Research is four years.

### The Degree of MSc in Medical Sciences - Oral Biology [Graduate]

The Department of Dentistry offers the degree of MSc in Medical Sciences – Oral Biology as a research-based program.

#### Entrance Requirements

The Department's minimum admission requirements are an undergraduate degree with an average of 3.0 on a four-point scale in the last ★60 or two years of undergraduate or graduate work at the University of Alberta, or an equivalent qualification from a recognized institution.

Where applicable, applicants must provide proof of English Language Proficiency (refer to [English Language Requirement](#)). Any one of the following is acceptable:

- TOEFL (paper-based) minimum score 580;
- TOEFL (internet-based) minimum score 95 with at least 20 per section;
- MELAB minimum score of 91;
- CAEL minimum score of 70 with at least 70 on each subtest;
- or an IELTS (Academic) minimum score of 7.5 with at least 6 on each band.

Applicants are also required to submit the following:

- a current curriculum vitae
- a statement of intent
- three letters of recommendation (two must be

~~intent will be considered for the admission decision. Other facts would be considered on a case per case basis. All short listed PhD applicants will be interviewed by representatives of the Department's Graduate Studies Committee.~~

professional)

- Applicants must identify a willing faculty supervisor
- Applicants must identify a potential thesis topic
- Applicants must identify potential research funding in their application.

Admission is dependent upon the approval of the Department of Dentistry Graduate Studies Committee and the Medical Sciences Graduate Program Committee.

For the MSc in Medical Sciences –Oral Biology applications are always open. Applications received by March 1 will receive preference for Fall Term (September) admission. Applications received by June 1 will receive preference for Winter Term (January) admission.

### **Program Requirements**

Students are required to complete a minimum of ★9 in coursework, consisting of ★6 in required courses and ★3 in elective courses. The program of study is determined by the program director and supervisor (where appropriate).

Student progress will be monitored through an oral and written assessment and an interview with the Graduate Program Coordinator in the Spring term.

#### **Required courses (★6)**

- DENT 542 (★1)– Research Methodology
- DENT 543 (★3)– Introduction to Research Methods and Data Management
- DENT 601 (★2) – Seminars in Oral Health Sciences

#### **Elective courses (★3)**

- Students must complete ★3 in graduate-level courses chosen in consultation with the program director and their supervisor.

#### **Thesis**

- Registration in 900-level THES. Students are required to complete and defend a thesis.

#### **Seminars**

Students have an attendance requirement for the Discover Dental Sciences seminars and to participate in the Graduate Student Research Day.

#### **Length of Program**

The time required to complete the MSc will vary according to the previous training of the applicant and the nature of the research undertaken; however, a maximum of three years is considered normal.

[moved up from below MSc Orthodontics]

## **The Degree of MSc in Medical Sciences - Oral Medicine [Graduate]**

### **General Information**

The Department of Dentistry offers a thesis-based MSc in Medical Sciences for dental graduates which focuses on Oral Medicine. The program offers clinical training leading to eligibility to sit the oral medicine specialty credentialing examination of the Royal College of Dentists of Canada. The program normally commences each September. Lectures, seminars, and clinical experiences provide an optimal, progressive learning experience.

Clinical expertise is supplemented by off-service rotations in a variety of medical disciplines. (See also Medical Sciences.)

### **Entrance Requirements**

A Doctor of Dental Surgery (DDS) or equivalent dental professional designation is required.

[moved down from Entrance Requirements]

The Department's normal requirements for admission of graduate students are a minimum of 3.0 or equivalent GPA during the last two years of an undergraduate or graduate degree at the University of Alberta, or equivalent qualification from another institution,

and a TOEFL score of at least 580 (paper-based) or 95 with at least 20 per section (Internet-based), or a MELAB minimum score of 91; or a CAEL minimum score of 70 with at least 70 on each subtest; or an IELTS (Academic) minimum score of 7.5 with at least 6 on each band, where applicable (see English Language Requirement). Admission is dependent upon the recommendation of the Department of Dentistry's Graduate Committee and the Medical Sciences Graduate Program Committee. In addition, the applicant's curriculum vitae, previous research experience, letters of recommendation and statement of intent will be considered for the admission decision. Other facts would be considered on a case per case basis. All short listed PhD applicants will be interviewed by representatives of the Department's Graduate Studies

The maximum time permitted to complete the program as set by the Faculty of Graduate Studies and Research is four years.

[moved up from below MSc Orthodontics]

## **The Degree of MSc in Medical Sciences - Oral Medicine [Graduate]**

The Department of Dentistry offers a thesis-based MSc degree in Medical Sciences for dental graduates which focuses on Oral Medicine. The program offers clinical training leading to eligibility to sit the oral medicine specialty credentialing examination of the Royal College of Dentists of Canada. The program commences in September.

Clinical expertise is supplemented by off-service rotations in a variety of medical disciplines. (See Medical Sciences.)

### **Entrance Requirements**

The Department's minimum admission requirements are a Doctor of Dental Surgery (DDS) or equivalent with an average of 3.0 on a four-point scale in the last ★60 or two years of undergraduate or graduate work at the University of Alberta, or an equivalent qualification from a recognized institution.

Where applicable, applicants must provide proof of English Language Proficiency (refer to [English Language Requirement](#)). Any one of the following is acceptable:

- TOEFL (paper-based) minimum score 580;
- TOEFL (internet-based) minimum score 95 with at least 20 per section;
- MELAB minimum score of 91;
- CAEL minimum score of 70 with at least 70 on each subtest;
- or an IELTS (Academic) minimum score of 7.5 with at least 6 on each band.

Applicants are also required to provide the following:

- a current curriculum vitae
- a statement of intent
- three letters of recommendation (two must be professional)
- an official letter from their dental school noting their class ranking upon graduation from dentistry.
- Completion of at least one year of experience as a

Committee.

~~Based on the academic record, telephone or in person interviews, clinical and research experience, expectations and career plan outlined in the letter of intent and three letters of reference, the top three candidates will be chosen and rank ordered. Admission interviews are normally required.~~

~~Admission is dependent upon the recommendation of the Department of Dentistry Graduate Committee and the Medical Sciences Graduate Program Committee.~~

~~For applicants that are not licensed by Alberta Dental Association and College (ADA&C), a condition of admission is for candidates to obtain registration on the Education and Research Register from the ADA&C by August 1 prior to starting the program in the fall term. Candidates who already possess a full license from the ADA&C do not need to obtain additional licensure.~~

[moved up to Financial Assistance]

#### **Financial Assistance**

~~Oral Medicine students receive a stipend for a 36-month period. Funding from other sources may be available on a competitive basis.~~

#### **Program Requirements**

~~The program of study and professional development requirements are determined by the department in consultation with the supervisor and the supervisory committee.~~

~~The requirements for the degree include coursework, seminars, a clinical component and a thesis. Student progress will be monitored through an annual written and/or oral assessment in the Spring Term.~~

licensed dentist prior to the start of the program is preferred.

- Applicants must have a license to practice Dentistry in Alberta, or must have passed the NDEB examination of Canada.
- Applicants who are not licensed but in a Canada/USA accredited GPR program are required to obtain a letter from the Program Director stating they are in good standing with no professional conduct issues.
- A personal interview is required for short-listed applicants. These applicants will be advised of the arranged interview date by e-mail.

Admission is dependent upon the approval of the Division of Oral Medicine Admissions Committee, the Department of Dentistry Graduate Studies Committee and the Medical Sciences Graduate Program Committee.

For applicants that are not licensed by Alberta Dental Association and College (ADA&C), a condition of admission is for candidates to obtain registration on the Education and Research Register from the ADA&C by August 1 prior to starting the program in the fall term. Applicants who already possess a full license from the ADA&C do not need to obtain additional licensure.

For the MSc in Oral Medicine the application deadline is September 1 for the following September admission.

#### **Program Requirements**

Students are required to complete a minimum of ★50 in required coursework. The program also consists of seminars, a clinical component and a thesis. Student progress will be monitored through an annual written and/or oral assessment in the Spring Term.

The program of study is determined by the department in consultation with the supervisor and the supervisory committee.

#### Required courses (★50)

##### First Year (★27)

- DENT 502 (3)- Oral Pathology
- DENT 503 (9)- Oral Medicine I
- DENT 504 (4)- Oral Medicine Clinics I
- DENT 542 (1)- Research Methodology
- DENT 562 (2)- TMD/Orofacial Pain
- DENT 563 (6)- Temporomandibular Disorders

#### Orofacial Pain Clinics

- DENT 565 (1)- Evidence Based Dentistry
- DENT 566 (1)- Systematic Reviews in Dentistry

#### Second Year (★16)

- DENT 604 (2)- Oral Medicine Seminars II
- DENT 605 (4)- Oral Medicine Clinics II
- DENT 606 (2)- Pharmacotherapeutics in Oral Medicine
- DENT 607 (2)- Advanced Oral Radiology
- DENT 663 (6)- Temporomandibular Disorders/Orofacial Pain Clinics

#### Third Year (★7)

- DENT 704 (2)- Oral Medicine Seminars III
- DENT 705 (2.5)- Oral Medicine Clinics III
- DENT 763 (2.5)- Temporomandibular Disorders/Orofacial Pain Clinics III

#### Thesis

- Registration in 900-level THES. Students are required to complete and defend a thesis.

#### Seminars

Students must attend the Discover Dental Sciences seminars and participate in the Graduate Student Research Day.

#### Requirements for Clinical courses

These requirements must be met prior to starting the clinical courses. If there is an associated fee, students are responsible for the costs incurred.

- Medical Testing and Immunization  
Requirements: To ensure, insofar as possible, both student and patient safety, the Faculty of Medicine and Dentistry requires that all students must have their immunization status reviewed and updated as necessary by a qualified healthcare professional upon acceptance into a health sciences program. ([University Infectious Diseases Regulation](#))
- Police Information Checks and Protection for Persons in Care: Applicants should be aware that a clear Police Information Check (PIC) is required as a condition of admission and that any criminal charges pending must be declared. ([Requirement for Police Information Checks](#)); ([Protection for Persons in Care](#))
- Professional Standards for Students in the Faculty of Medicine and Dentistry: ([Professional and Ethical Standards](#))
- The Department of Dentistry Technical Standards Policy: defines the necessary knowledge, skills, professional behaviors, and attitudes expected of students. ([Technical Standards](#))



## Length of Program

The time required to complete the program is ~~36 months.~~

## The Degree of MSc in Medical Sciences - Orthodontics [Graduate]

### General Information

The Department of Dentistry offers ~~an~~ MSc in Medical Sciences - Orthodontics. Through a combination of didactic and clinical courses, the program is structured to prepare the dental graduate for an orthodontic practice and/or a related clinical academic appointment. ~~This is a thesis-based program. In addition~~ the clinical requirements involve the successful completion of a selected number of teaching cases. (See ~~also~~ Medical Sciences).

Information about the program may be found at [www.ualberta.ca/school-of-dentistry/programs-and-admissions/graduate-studies/msc-orthodontics](http://www.ualberta.ca/school-of-dentistry/programs-and-admissions/graduate-studies/msc-orthodontics). The application deadline is September 1 for the following September admission.

### Entrance Requirements

In addition to the general entrance requirements (Dentistry), a Doctor of Dental Surgery (DDS) or equivalent dental professional designation is required.

[moved down from Entrance Requirements]

~~The Department's normal requirements for admission of graduate students are a minimum of 3.0 or equivalent GPA during the last two years of an undergraduate or graduate degree at the University of Alberta, or equivalent qualification from another institution,~~

~~and a TOEFL score of at least 580 (paper-based) or 95 with at least 20 per section (Internet-based), or a MELAB minimum score of 91; or a CAEL minimum score of 70 with at least 70 on each subtest; or an IELTS (Academic) minimum score of 7.5 with at least 6 on each band, where applicable (see English Language Requirement). Admission is dependent upon the recommendation of the Department of Dentistry's~~

## Length of Program

The time required to complete the program is three years.

The maximum time permitted to complete the program as set by the Faculty of Graduate Studies and Research is four years.

## The Degree of MSc in Medical Sciences - Orthodontics [Graduate]

The Department of Dentistry offers a thesis-based MSc degree in Medical Sciences - Orthodontics. Through a combination of didactic and clinical courses, the program is structured to prepare the dental graduate for an orthodontic practice and/or a related clinical academic appointment. The clinical requirements involve the successful completion of a selected number of teaching cases. (See Medical Sciences).

### Entrance Requirements

The Department's minimum admission requirements are a Doctor of Dental Surgery (DDS) or equivalent with an average of 3.4 on a four-point scale in the last ★60 or two years of undergraduate or graduate work at the University of Alberta, or an equivalent qualification from a recognized institution.

Where applicable, applicants must provide proof of English Language Proficiency (refer to [English Language Requirement](#)). Any one of the following is acceptable:

- TOEFL (paper-based) minimum score 580;
- TOEFL (internet-based) minimum score 95 with at least 20 per section;
- MELAB minimum score of 91;
- CAEL minimum score of 70 with at least 70 on each subtest;
- or an IELTS (Academic) minimum score of 7.5 with at least 6 on each band.

All applicants are also required to provide the following:

- a current curriculum vitae
- a statement of intent



~~Graduate Committee and the Medical Sciences Graduate Program Committee. In addition, the applicant's curriculum vitae, previous research experience, letters of recommendation and statement of intent will be considered for the admission decision. Other facts would be considered on a case per case basis. All short listed PhD applicants will be interviewed by representatives of the Department's Graduate Studies Committee.~~

~~Applicants to the Orthodontics program must: Provide an official letter from their dental school noting their class ranking upon graduation from dentistry.~~

~~Have completed at least one year of experience as a licensed dentist prior to the start of the program. Letter(s) of good standing from current and previous licensing bodies must be provided. Proof of clinical involvement as a licensed dentist not later than two years prior to application is required. Letter(s) of good standing from current and previous licensing bodies must be provided.~~

~~Complete a required personal interview if short-listed. Those applicants will be advised of the arranged interview date by e-mail.~~

~~Admission is dependent upon the recommendation of the Division of Orthodontics Selection Committee, the Department of Dentistry's Graduate Committee and the Medical Sciences Graduate Program Committee.~~

~~For applicants that are not licensed by Alberta Dental Association and College (ADA&C), a condition of admission is for candidates to obtain registration on the Education and Research Register from the ADA&C by August 1 prior to starting the program in the fall term. Candidates who already possess a full license from the ADA&C do not need to obtain additional licensure.~~

### **Financial Assistance**

~~See (General Information).~~

### **Program Requirements**

~~The requirements for the degree include coursework, seminars, a clinical component and a thesis. Student progress will be monitored through an annual written and/or oral external assessment. Feedback from this assessment serves to identify areas that require~~

- three letters of recommendation (two must be professional)
- An official letter from their dental school noting their class ranking upon graduation from dentistry.
- Completion of at least one year of experience as a licensed dentist immediately prior to the start of the program is required.
- Applicants must have a license to practice Dentistry in Alberta, or must have passed the NDEB examination of Canada.
- Applicants who are not licensed but in a Canada/USA accredited GPR program are required to obtain a letter from the Program Director stating they are in good standing with no professional conduct issues.
- A personal interview is required for short-listed applicants. These applicants will be advised of the arranged interview date by e-mail.

Admission is dependent upon the approval of the Division of Orthodontics Selection Committee, the Department of Dentistry's Graduate Studies Committee and the Medical Sciences Graduate Program Committee.

For applicants that are not licensed by Alberta Dental Association and College (ADA&C), a condition of admission is for candidates to obtain registration on the Education and Research Register from the ADA&C by August 1 prior to starting the program in the fall term. Applicants who already possess a full license from the ADA&C do not need to obtain additional licensure.

For the MSc in Orthodontics the application deadline is September 1 for the following September admission.

### **Program Requirements**

Students are required to complete a minimum of ★71 in required coursework . The program also consists of seminars, a clinical component and a thesis. Student progress will be monitored through an annual written and/or oral external assessment. Feedback from this assessment serves to identify areas that require additional attention by the student. The assessment will permit the development of specific clinical and/or didactic improvement objectives before the next annual assessment.

The program of study is determined by the department in

additional attention by the student. The assessment will permit the development of specific clinical and/or didactic improvement objectives before the next annual assessment.

The program of study and professional development requirements are determined in consultation with the supervisor and supervisory committee.

consultation with the supervisor and supervisory committee.

#### Required courses (★71)

##### First Year (★33)

- DENT 530 (3)- Orthodontic Techniques and Biomechanics
- DENT 532 (2)- Growth and Development
- DENT 540 (6)- Orthodontic Seminars
- DENT 541 (10)- Orthodontic Clinics
- DENT 562 (2) - TMD/Orofacial Pain
- DENT 565 (1)- Evidence Based Dentistry
- DENT 566 (1)- Systematic Reviews in Dentistry
- DENT 607 (2)- Advanced Oral Radiology
  
- \*OBIOL 500 (3) - Oral Biology I
- \*OBIOL 501 (3) - Oral Biology II

\* OBIOL 500 and 501 are required to be taken in either year one or year two.

##### Second Year (★22)

- DENT 551 (3)- Introduction to Applied Statistics
- DENT 552 (3)- Applied Multivariate Statistical Analysis
- DENT 640 (6)- Orthodontic Seminars
- DENT 641 (10)- Orthodontic Clinics

##### Third Year (★16)

- DENT 740 (6)- Orthodontic Seminars
- DENT 741 (10)- Orthodontic Clinics

##### Thesis

- Registration in 900-level THES. Students are required to complete and defend a thesis.

##### Seminars

Students have an attendance requirement for the Discover Dental Sciences seminars and to participate in the Graduate Student Research Day.

##### Requirements for Clinical courses

These requirements must be met prior to starting the clinical courses. If there is an associated fee, students are responsible for the costs incurred.

- Medical Testing and Immunization Requirements: To ensure, insofar as possible, both student and patient safety, the Faculty of Medicine and Dentistry requires that all students must have their immunization status reviewed and updated as necessary by a qualified healthcare professional upon acceptance into a health sciences program. ([University Infectious Diseases Regulation](#))

### **Length of Program**

The minimum time required to complete the MSc is three years.

[moved to above MSc Orthodontics]

### **The Degree of MSc in Medical Sciences – Oral Medicine [Graduate]**

#### **General Information**

The Department of Dentistry offers a thesis-based MSc in Medical Sciences for dental graduates which focuses on Oral Medicine. The program offers clinical training leading to eligibility to sit the oral medicine specialty credentialing examination of the Royal College of Dentists of Canada. The program normally commences each September. Lectures, seminars, and clinical experiences provide an optimal, progressive learning experience.

Clinical expertise is supplemented by off-service rotations in a variety of medical disciplines. (See also Medical Sciences.)

#### **Entrance Requirements**

A Doctor of Dental Surgery (DDS) or equivalent dental professional designation is required.

Based on the academic record, telephone or in person

- Police Information Checks and Protection for Persons in Care: Applicants should be aware that a clear Police Information Check (PIC) is required as a condition of admission and that any criminal charges pending must be declared. ([Requirement for Police Information Checks](#)); ([Protection for Persons in Care](#))
- Professional Standards for Students in the Faculty of Medicine and Dentistry: ([Professional and Ethical Standards](#))
- The Department of Dentistry Technical Standards Policy: defines the necessary knowledge, skills, professional behaviors, and attitudes expected of students. ([Technical Standards](#))

### **Length of Program**

The minimum time required to complete the MSc is three years.

The maximum time permitted to complete the program as set by the Faculty of Graduate Studies and Research is four years.

interviews, clinical and research experience, expectations and career plan outlined in the letter of intent and three letters of reference, the top three candidates will be chosen and rank ordered. Admission interviews are normally required. Admission is dependent upon the recommendation of the Department of Dentistry Graduate Committee and the Medical Sciences Graduate Program Committee.

For applicants that are not licensed by Alberta Dental Association and College (ADA&C), a condition of admission is for candidates to obtain registration on the Education and Research Register from the ADA&C by August 1 prior to starting the program in the Fall Term. Candidates who already possess a full license from the ADA&C do not need to obtain additional licensure.

### **Financial Assistance**

Oral Medicine students receive a stipend for a 36-month period. Funding from other sources may be available on a competitive basis.

### **Program Requirements**

The program of study and professional development requirements are determined by the department in consultation with the supervisor and the supervisory committee.

The requirements for the degree include coursework, seminars, a clinical component and a thesis. Student progress will be monitored through an annual written and/or oral assessment in the Spring Term.

### **Length of Program**

The time required to complete the program is 36 months.

## **The Degree of MSc in Medical Sciences - Periodontology [Graduate]**

### **General Information**

The Department of Dentistry offers an MSc in Medical Sciences - Periodontology. Through a combination of didactic and clinical courses, the program is structured to prepare the dental graduate for a Periodontology practice and/or an educational academic appointment. This is a thesis-based program. In addition the clinical requirements involve successful completion of selected teaching cases. (See also Medical Sciences). Information about the program may be found at [www.ualberta.ca/school-of-dentistry/programs-and-admissions/graduate-studies/mse-periodontology](http://www.ualberta.ca/school-of-dentistry/programs-and-admissions/graduate-studies/mse-periodontology). The deadline is September 1 for the following September admission.

## **The Degree of MSc in Medical Sciences - Periodontology [Graduate]**

The Department of Dentistry offers a thesis-based MSc degree in Medical Sciences - Periodontology. Through a combination of didactic and clinical courses, the program is structured to prepare the dental graduate for Periodontology practice and/or an educational academic appointment. This is a thesis-based program. In addition the clinical requirements involve successful completion of selected teaching cases. (See Medical Sciences).

### **Entrance Requirements**

The Department's minimum admission requirements are a Doctor of Dental Surgery (DDS) or equivalent with an average of 3.0 on a four-point scale in the last ★60 or two years of undergraduate or graduate work at the University of Alberta, or an equivalent qualification from a

## Entrance Requirements

A Doctor in Dental Surgery (DDS) or equivalent dental professional designation is required.

[moved down from Entrance Requirements]

~~The Department's normal requirements for admission of graduate students are a minimum of 3.0 or equivalent GPA during the last two years of an undergraduate or graduate degree at the University of Alberta, or equivalent qualification from another institution,~~

~~and a TOEFL score of at least 580 (paper-based) or 95 with at least 20 per section (Internet-based), or a MELAB minimum score of 91; or a CAEL minimum score of 70 with at least 70 on each subtest; or an IELTS (Academic) minimum score of 7.5 with at least 6 on each band, where applicable (see English Language Requirement). Admission is dependent upon the recommendation of the Department of Dentistry's Graduate Committee and the Medical Sciences Graduate Program Committee. In addition, the applicant's curriculum vitae, previous research experience, letters of recommendation and statement of intent will be considered for the admission decision. Other facts would be considered on a case per case basis. All short listed PhD applicants will be interviewed by representatives of the Department's Graduate Studies Committee.~~

~~In addition to the general entrance requirements (Dentistry), applicants to the Periodontology program must:~~

~~Provide an official letter from their dental school noting their class ranking upon graduation from dentistry.~~

~~Have at least one year of experience as a licensed dentist prior to the start of the program. Proof of clinical involvement as a licensed dentist not later than two years before application. Letter(s) of good standing from current and previous licensing bodies must be provided.~~

~~Complete a required personal interview if short-listed. Those applicants will be advised of the arranged interview date by e-mail.~~

~~Admission is dependent upon the recommendation of the Division of Periodontics Selection Committee, the Department of Dentistry's Graduate Committee and the Medical Sciences Graduate Program Committee.~~

recognized institution.

Where applicable, applicants must provide proof of English Language Proficiency (refer to [English Language Requirement](#)). Any one of the following is acceptable:

- TOEFL (paper-based) minimum score 580;
- TOEFL (internet-based) minimum score 95 with at least 20 per section;
- MELAB minimum score of 91;
- CAEL minimum score of 70 with at least 70 on each subtest;
- or an IELTS (Academic) minimum score of 7.5 with at least 6 on each band.

All applicants are also required to submit the following:

- a current curriculum vitae
- a statement of intent
- three letters of recommendation (two must be professional)
  
- An official letter from their dental school noting their class ranking upon graduation from dentistry.
- Completion of at least one year of experience as a licensed dentist immediately prior to the start of the program is preferred.
- Applicants must have a license to practice Dentistry in Alberta, or must have passed the NDEB examination of Canada.
- Applicants who are not licensed but in a Canada/USA accredited GPR program are required to obtain a letter from the Program Director stating they are in good standing with no professional conduct issues.
- A personal interview is required for short-listed applicants. These applicants will be advised of the arranged interview date by e-mail.

Admission is dependent upon the approval of the Division of Periodontology Selection Committee, the Department of Dentistry's Graduate Studies Committee and the Medical Sciences Graduate Program Committee.

For applicants that are not licensed by Alberta Dental Association and College (ADA&C), a condition of admission is for candidates to obtain registration on the Education and Research Register from the ADA&C by August 1 prior to starting the program in the fall term. Applicants who already possess a full license from the ADA&C do not need to obtain additional licensure.

For applicants that are not licensed by Alberta Dental Association and College (ADA&C), a condition of admission is for candidates to obtain registration on the Education and Research Register from the ADA&C by August 1 prior to starting the program in the fall term. Candidates who already possess a full license from the ADA&C do not need to obtain additional licensure.

### Financial Assistance

See (Dentistry).

### Program Requirements

The requirements for the degree include coursework, a clinical component and a thesis. Student progress will be monitored through an annual written and/or oral assessment. Feedback from this assessment serves to identify areas that require additional attention by the student. The assessment will permit the development of specific clinical and/or didactic improvement objectives before the next annual assessment.

The program of study and professional development requirements are determined in consultation with the supervisor and supervisory committee.

OBIOL 500 - Oral Biology I  
OBIOL 501 - Oral Biology II  
~~DENT 542 - Research Methodology~~  
~~DENT 551 - Introduction to Applied Statistics~~  
~~DENT 552 - Applied Multivariate Statistical Analysis~~  
DENT 565 - Evidence Based Dentistry  
DENT 566 - Systematic Reviews in Dentistry  
DENT 572 (6)- Periodontology Seminars  
DENT 573 - Periodontology Clinics  
DENT 672 (6)- Periodontology Seminars  
DENT 673 - Periodontology Clinics  
DENT 772 (6)- Periodontology Seminars  
DENT 773 - Periodontology Clinics

For the MSc in Periodontology the application deadline is September 1 for the following September admission.

### Program Requirements

Students are required to complete a minimum of ★66 in required coursework. The program also consists of a clinical component, seminars, and a thesis. Student progress will be monitored through an annual written and/or oral external assessment. Feedback from this assessment serves to identify areas that require additional attention by the student. The assessment will permit the development of specific clinical and/or didactic improvement objectives before the next annual assessment.

The program of study is determined by the department in consultation with the supervisor and supervisory committee.

#### Required courses (★66)

##### First Year (★29)

- DENT 562 (2) - TMD/Orofacial Pain
- DENT 565 (1)- Evidence Based Dentistry
- DENT 566 (1)- Systematic Reviews in Dentistry
- DENT 570 (3)- Periodontology Fundamentals I
- DENT 571 (3)- Implantology Fundamentals I
- DENT 572 (3)- Periodontology Seminars I
- DENT 573 (10)- Periodontology Clinics I
- OBIOL 500 (3)- Oral Biology I
- OBIOL 501 (3)- Oral Biology II

##### Second Year (★24)

- DENT 551 (3)- Introduction to Applied Statistics
- DENT 670 (3)- Periodontology Fundamentals II
- DENT 671(3) - Implantology Fundamentals II
- DENT 672 (3)- Periodontology Seminars II
- DENT 673 (10)- Periodontology Clinics II
- DENT 674 (2)- Advanced Oral Pathology for Periodontology

##### Third Year (★13)

- DENT 770 (1)- Periodontology Fundamentals III
- DENT 771 (1)- Implantology Fundamentals III
- DENT 772 (1)- Periodontology Seminars III
- DENT 773 (10)- Periodontology Clinics III

##### Thesis

- Registration in 900-level THES. Students are required to complete and defend a thesis.

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| <p><b>Length of Program</b><br/>The minimum time required to complete the MSc is three years.</p> <p><b>The Degree of PhD in Medical Sciences - Dentistry and the Degree of PhD in Medical Sciences - Oral Biology [Graduate]</b><br/>The Department of Dentistry offers the PhD in Medical Sciences - Dentistry <del>and the PhD in Medical Sciences-</del></p> | <p><b>Seminars</b><br/><u>Students have an attendance requirement for the Discover Dental Sciences seminars and to participate in the Graduate Student Research Day.</u></p> <p><b>Requirements for Clinical courses</b><br/><u>These requirements must be met prior to starting the clinical courses. If there is an associated fee, students are responsible for the costs incurred.</u></p> <ul style="list-style-type: none"> <li>• <u>Medical Testing and Immunization Requirements: To ensure, insofar as possible, both student and patient safety, the Faculty of Medicine and Dentistry requires that all students must have their immunization status reviewed and updated as necessary by a qualified healthcare professional upon acceptance into a health sciences program. (<a href="#">University Infectious Diseases Regulation</a>)</u></li> <li>• <u>Police Information Checks and Protection for Persons in Care: Applicants should be aware that a clear Police Information Check (PIC) is required as a condition of admission and that any criminal charges pending must be declared. (<a href="#">Requirement for Police Information Checks</a>); (<a href="#">Protection for Persons in Care</a>)</u></li> <li>• <u>Professional Standards for Students in the Faculty of Medicine and Dentistry: (<a href="#">Professional and Ethical Standards</a>)</u></li> <li>• <u>The Department of Dentistry Technical Standards Policy: defines the necessary knowledge, skills, professional behaviors, and attitudes expected of students. (<a href="#">Technical Standards</a>)</u></li> </ul> <p><b>Length of Program</b><br/>The minimum time required to complete the MSc is three years.</p> <p><u>The maximum time permitted to complete the program as set by the Faculty of Graduate Studies and Research is four years.</u></p> <p><b>The Degree of PhD in Medical Sciences - Dentistry [Graduate]</b></p> <p>The Department of Dentistry offers the <u>degree of PhD</u> in Medical Sciences - Dentistry.</p> |
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~~Oral Biology. The program of study and professional development requirements are determined in consultation with the supervisor and supervisory committee. The general description for the PhD in Medical Sciences is as presented for all PhD programs in Medical Sciences (see Medical Sciences).~~

~~In addition the Department of Dentistry requires a Master's degree or the consent of the Department of Dentistry.~~

~~[moved down from Entrance Requirements]~~

~~The Department's normal requirements for admission of graduate students are a minimum of 3.0 or equivalent GPA during the last two years of an undergraduate or graduate degree at the University of Alberta, or equivalent qualification from another institution,~~

~~and a TOEFL score of at least 580 (paper-based) or 95 with at least 20 per section (Internet-based), or a MELAB minimum score of 91; or a CAEL minimum score of 70 with at least 70 on each subtest; or an IELTS (Academic) minimum score of 7.5 with at least 6 on each band, where applicable (see English Language Requirement). Admission is dependent upon the recommendation of the Department of Dentistry's Graduate Committee and the Medical Sciences Graduate Program Committee. In addition, the applicant's curriculum vitae, previous research experience, letters of recommendation and statement of intent will be considered for the admission decision. Other facts would be considered on a case per case basis. All short listed PhD applicants will be interviewed by representatives of the Department's Graduate Studies Committee.~~

## **Entrance Requirements**

The Department's minimum admission requirements are a master's degree with an average of 3.0 on a four-point scale in the last ★60 or two years of undergraduate or graduate work at the University of Alberta, or an equivalent qualification from a recognized institution.

Applicants without a master's degree must have consent of the Department of Dentistry.

Where applicable, applicants must provide proof of English Language Proficiency (refer to [English Language Requirement](#)). Any one of the following is acceptable:

- TOEFL (paper-based) minimum score 580;
- TOEFL (internet-based) minimum score 95 with at least 20 per section;
- MELAB minimum score of 91;
- CAEL minimum score of 70 with at least 70 on each subtest;
- or an IELTS (Academic) minimum score of 7.5 with at least 6 on each band.

All applicants are also required to submit the following:

- a current curriculum vitae
- a statement of intent
- three letters of recommendation (two must be professional)
- Applicants must identify a willing faculty supervisor
- Applicants must identify a potential thesis topic
- Applicants must identify potential funding in their application.

Admission is dependent upon the approval of the Department of Dentistry Graduate Studies Committee and the Medical Sciences Graduate Program Committee.

For the MSc in Medical Sciences – Dental Hygiene, the MSc and PhD in Medical Sciences – Dentistry, and the MSc and PhD in Medical Sciences – Oral Biology, applications are always open. Applications received by March 1 will receive preference for Fall Term (September) admission. Applications received by June 1 will receive preference for Winter Term (January) admission.

## **Program Requirements**

Students are required to complete a minimum of ★12 in coursework, consisting of ★6 in required courses and ★6 in elective courses. The program also consists of seminars and a thesis. The program of study is determined by the [Graduate Program Director](#) in consultation with the supervisor and supervisory committee.

Student progress will be monitored through an oral and



The program of study and professional development requirements are determined in consultation with the supervisor and supervisory committee.

written assessment and an interview with the Graduate Program Coordinator in the Spring term.

#### Required courses (★6)

- DENT 542 (1)- Research Methodology
- DENT 543 (3)- Introduction to Research Methods and Data Management
- DENT 601 (2)- Seminars in Oral Health Sciences

#### Elective courses (★6)

- Students must complete ★6 in graduate-level courses chosen in consultation with the program director and their supervisor.

#### Thesis

- Registration in 900-level THES. Students are required to complete and defend a thesis.

#### Candidacy exam

Students are required to take a written and oral candidacy examination. Students must demonstrate that they possess an adequate knowledge of the discipline and of the subject matter relevant to their thesis topic, and that they have the ability to pursue and complete original research at an advanced level.

#### Seminars

Students have an attendance requirement for the Discover Dental Sciences seminars and to participate in the Graduate Student Research Day.

### **Length of Program**

The time required to complete the PhD will vary according to the previous training of the applicant and the nature of the research undertaken; however, a maximum of five years is considered normal. The maximum time permitted to complete the PhD program as set by the Faculty of Graduate Studies and Research is six years.

### **The Degree of PhD in Medical Sciences - Oral Biology [Graduate]**

The Department of Dentistry offers the degree of PhD in Medical Sciences – Oral Biology.

### **Entrance Requirements**

The Department's minimum admission requirements are a master's degree with an average of 3.0 on a four-point scale in the last ★60 or two years of undergraduate or graduate work at the University of Alberta, or an equivalent qualification from a recognized institution.

Applicants without a master's degree must have consent

[moved down from Entrance Requirements]

The Department's normal requirements for admission of graduate students are a minimum of 3.0 or equivalent GPA during the last two years of an undergraduate or graduate degree at the University of Alberta, or equivalent qualification from another institution,

and a TOEFL score of at least 580 (paper-based) or 95 with at least 20 per section (Internet-based), or a MELAB minimum score of 91; or a CAEL minimum score of 70 with at least 70 on each subtest; or an IELTS (Academic) minimum score of 7.5 with at least 6 on each band, where applicable (see English Language Requirement). Admission is dependent upon the recommendation of the Department of Dentistry's Graduate Committee and the Medical Sciences Graduate Program Committee. In addition, the applicant's curriculum vitae, previous research experience, letters of recommendation and statement of intent will be considered for the admission decision. Other facts would be considered on a case per case basis. All short listed PhD applicants will be interviewed by representatives of the Department's Graduate Studies Committee.

of the Department of Dentistry.

Where applicable, applicants must provide proof of English Language Proficiency (refer to [English Language Requirement](#)). Any one of the following is acceptable:

- TOEFL (paper-based) minimum score 580;
- TOEFL (internet-based) minimum score 95 with at least 20 per section;
- MELAB minimum score of 91;
- CAEL minimum score of 70 with at least 70 on each subtest;
- or an IELTS (Academic) minimum score of 7.5 with at least 6 on each band.

All applicants are also required to submit the following:

- a current curriculum vitae
- a statement of intent
- three letters of recommendation (two must be professional)
- Applicants must identify a willing faculty supervisor
- Applicants must identify a potential thesis topic
- Applicants must identify potential funding in their application.

Admission is dependent upon the approval of the Department of Dentistry Graduate Studies Committee and the Medical Sciences Graduate Program Committee.

For the PhD in Medical Sciences – Oral Biology, applications are always open. Applications received by March 1 will receive preference for Fall Term (September) admission. Applications received by June 1 will receive preference for Winter Term (January) admission.

### **Program Requirements**

Students are required to complete a minimum of ★12 in coursework, consisting of ★6 in required courses and ★6 in elective courses. The program also consists of seminars and a thesis. The program of study is determined in by the Graduate Program Director in consultation with the supervisor and supervisory committee.

Student progress will be monitored through an oral and written assessment and an interview with the Graduate Program Coordinator in the Spring term.

#### **Required courses (★6)**

- DENT 542 (1)- Research Methodology
- DENT 543 (3)- Introduction to Research Methods and Data Management
- DENT 601 (2)- Seminars in Oral Health Sciences

### **The Degree of PhD in Medical Sciences - Orthodontics [Graduate]**

The Department of Dentistry offers a PhD in Medical Sciences - Orthodontics. It is a full-time program with clinical training integrated into it. Through a combination of didactic and clinical courses, the program is structured to prepare the dental graduate for an orthodontic practice and/or a related academic appointment. ~~This is a thesis based program.~~

[\[moved to Program Requirements\]](#)

~~In addition, the~~ clinical requirements involve successful completion of a selected number of teaching cases. Clinical training will not start until defined research

#### Elective courses (★6)

Students must complete ★6 in graduate-level courses chosen in consultation with the program director and their supervisor.

#### Thesis

- Registration in 900-level THES. Students are required to complete and defend a thesis.

#### Candidacy Exam

Students are required to take an oral and written candidacy examination. Students must demonstrate that they possess an adequate knowledge of the discipline and of the subject matter relevant to their thesis topic, and that they have the ability to pursue and complete original research at an advanced level.

#### Seminars

Students have an attendance requirement for the Discover Dental Sciences seminars and to participate in the Graduate Student Research Day.

#### Length of Program

The time required to complete the PhD will vary according to the previous training of the applicant and the nature of the research undertaken; however, a maximum of five years is considered normal. The maximum time permitted to complete the PhD program as set by the Faculty of Graduate Studies and Research is six years.

### **The Degree of PhD in Medical Sciences - Orthodontics [Graduate]**

The Department of Dentistry offers the degree of PhD in Medical Sciences - Orthodontics. It is a full-time research training program with clinical training integrated into it. Through a combination of didactic and clinical courses, the program is structured to prepare the dental graduate for an orthodontic practice and/or a related academic appointment.

milestones are attained.

~~Information about the program may be found at [www.ualberta.ca/school-of-dentistry/programs-and-admissions/graduate-studies/m-sc-orthodontics](http://www.ualberta.ca/school-of-dentistry/programs-and-admissions/graduate-studies/m-sc-orthodontics). The application deadline is September 1 for the following September admission. As part of the selection process, selected applicants will be invited to an interview. Students enrolled in the PhD in Medical Sciences – Orthodontics program will not have the option of transferring to the MSc in Medical Sciences – Orthodontics program.~~

## Entrance Requirements

~~In addition to the general entrance requirements (Dentistry), a Doctor of Dental Surgery (DDS) or equivalent dental professional designation, as well as a Master's degree or consent of both the Department of Dentistry and the Division of Orthodontics are required.~~

~~[moved down from Entrance Requirements]  
The Department's normal requirements for admission of graduate students are a minimum of 3.0 or equivalent GPA during the last two years of an undergraduate or graduate degree at the University of Alberta, or equivalent qualification from another institution,~~

~~and a TOEFL score of at least 580 (paper-based) or 95 with at least 20 per section (Internet-based), or a MELAB minimum score of 91; or a CAEL minimum score of 70 with at least 70 on each subtest; or an IELTS (Academic) minimum score of 7.5 with at least 6 on each band, where applicable (see English Language Requirement). Admission is dependent upon the recommendation of the Department of Dentistry's Graduate Committee and the Medical Sciences Graduate Program Committee. In addition, the applicant's curriculum vitae, previous research experience, letters of recommendation and statement of intent will be considered for the admission decision. Other facts would be considered on a case per case basis. All short listed PhD applicants will be interviewed by representatives of the Department's Graduate Studies Committee.~~

~~Applicants to this Orthodontics program must:~~

- ~~• Provide an official letter from their dental school noting their class ranking upon graduation from dentistry.~~
- ~~• Have at least one year of experience as a licensed dentist prior to the start of the program. Proof of clinical involvement as a licensed dentist not later than two years before application. Letter(s)~~

## Entrance Requirements

The Department's minimum admission requirements are a Doctor of Dental Surgery (DDS) or equivalent **and** a master's degree with an average of 3.4 on a four-point scale in the last ★60 or two years of undergraduate or graduate work at the University of Alberta, or an equivalent qualification from a recognized institution.

Applicants without a master's degree must have consent of both the Department of Dentistry and the Division of Orthodontics.

Where applicable, applicants must provide proof of English Language Proficiency (refer to [English Language Requirement](#)). Any one of the following is acceptable:

- TOEFL (paper-based) minimum score 580;
- TOEFL (internet-based) minimum score 95 with at least 20 per section;
- MELAB minimum score of 91;
- CAEL minimum score of 70 with at least 70 on each subtest;
- or an IELTS (Academic) minimum score of 7.5 with at least 6 on each band.

All applicants are also required to submit the following:

- a current curriculum vitae
- a statement of intent
- three letters of recommendation (two must be professional)
  
- an official letter from their dental school noting their class ranking upon graduation from dentistry.
  
- Completion of at least one year of experience as a licensed dentist immediately prior to the start of the program is required.
- Applicants must have a license to practice Dentistry in Alberta, or must have passed the NDEB examination of Canada.
- Applicants who are not licensed but in a Canada/USA accredited GPR program are required to obtain a letter from the Program Director stating they are in good standing with no professional conduct issues.
- A personal interview is required for short-listed applicants. These applicants will be advised of the arranged interview date by e-mail.

~~of good standing from current and previous licensing bodies must be provided.~~

- ~~Complete a required personal interview if short-listed. Those applicants will be advised of the arranged interview date by e-mail.~~
- Identify a suitable supervisor to provide support.

~~For the PhD in Medical Sciences – Orthodontics program, applications will be received and reviewed by the Division of Orthodontics Committee (DOC) after approval by the Department of Dentistry’s Graduate Studies Committee (GSC) (see Medical Sciences). In-person participation in the formal DOC interview process is required for those applicants that are approved by the GSC and are thereafter selected for an interview by the DOC.~~

[moved below to Program Requirements – Requirements for Clinical Courses]

~~For applicants that are not licensed by Alberta Dental Association and College (ADA&C), a condition of admission is for candidates to obtain registration on the Education and Research Register from the ADA&C by August 1 prior to starting the program in the Fall Term. Candidates who already possess a full license from the ADA&C do not need to obtain additional licensure.~~

**Financial Assistance**  
See (General Information).

## Program Requirements

- Identify a suitable supervisor to provide support.

Admission is dependent upon the approval of the Department of Dentistry’s Graduate Studies Committee, the Division of Orthodontics Selection Committee, and the Medical Sciences Graduate Program Committee.

### Program Requirements

Students are required to complete a minimum of ★83 in required coursework. Additional courses related to the specific area of research may be required. The program also consists of seminars, a clinical component and a thesis.

[moved from above]

The clinical requirements involve successful completion of a selected number of teaching cases. Clinical training will not start until defined research milestones are attained and the candidacy examination is successfully passed. Clinical training will start in September immediately after these conditions are met.

Students enrolled in the PhD in Medical Sciences - Orthodontics program will not have the option of transferring to the MSc in Medical Sciences - Orthodontics program.

The program of study and professional development requirements are determined by the Graduate Program Director in consultation with the supervisor and supervisory committee.

Prior to clinical training:

Required courses (★6)

- DENT 542 (1)- Research Methodology
- DENT 543 (3)- Introduction to Research Methods

The program of study and professional development requirements are determined in consultation with the supervisor and supervisory committee.

#### and Data Management

- DENT 601 (2)- Seminars in Oral Health Sciences

#### Elective courses (★6)

- Students must complete ★6 in graduate-level courses chosen in consultation with the program director and their supervisor.

#### Required courses in clinical curriculum (★71)

##### First Year (★33)

- DENT 530 (3)- Orthodontic Techniques and Biomechanics
- DENT 532 (2)- Growth and Development
- DENT 540 (6)- Orthodontic Seminars
- DENT 541 (10)- Orthodontic Clinics
- DENT 562 (2)- TMD/Orofacial Pain
- DENT 565 (1)- Evidence Based Dentistry
- DENT 566 (1)- Systematic Reviews in Dentistry
- DENT 607 (2)- Advanced Oral Radiology
  
- \*OBIOL 500 (3) - Oral Biology I
- \*OBIOL 501 (3) - Oral Biology II

\* OBIOL 500 and 501 are required to be taken in either year one or year two.

##### Second Year (★22)

- DENT 551 (3)- Introduction to Applied Statistics
- DENT 552 (3)- Applied Multivariate Statistical Analysis
- DENT 640 (6)- Orthodontic Seminars
- DENT 641 (10)- Orthodontic Clinics

##### Third Year (★16)

- DENT 740 (6)- Orthodontic Seminars
- DENT 741 (10)- Orthodontic Clinics

#### Thesis

- Registration in 900-level THES. Students are required to complete and defend a thesis.

#### Candidacy exam

Successful completion of the PhD candidacy examination will be required by October 1 prior to the academic year the student starts their clinical training. This will allow the allocation of a clinical training spot for the following September start.

#### Seminars

Students have an attendance requirement for the Discover Dental Sciences seminars and to participate in the Graduate Student Research Day.

Successful completion of the PhD candidacy examination

will be required by October 1 prior to the academic year the student starts their clinical training. This will allow the allocation of a clinical training spot for the following September start.

~~Information about the program and the online application form may be found at [www.ualberta.ca/school-of-dentistry/programs-and-admissions/graduate-studies/msc-orthodontics](http://www.ualberta.ca/school-of-dentistry/programs-and-admissions/graduate-studies/msc-orthodontics).~~

[moved down from Entrance Requirements]  
For applicants that are not licensed by Alberta Dental Association and College (ADA&C), a condition of admission is for candidates to obtain registration on the Education and Research Register from the ADA&C by August 1 prior to starting the program in the Fall Term. Candidates who already possess a full license from the ADA&C do not need to obtain additional licensure.

### **Length of Program**

The time required to complete the PhD will vary according to the previous training of the applicant and the nature of the research undertaken; however, a minimum of six years is considered normal.

### **Requirements for Clinical courses**

These requirements must be met prior to starting the clinical courses. If there is an associated fee, students are responsible for the costs incurred.

- [moved down from Entrance Requirements] Students must obtain registration on the Education and Research Register from the ADA&C by August 1 prior to starting the clinical program in the Fall Term. Candidates who already possess a full license from the ADA&C do not need to obtain additional licensure.
- Medical Testing and Immunization Requirements: To ensure, insofar as possible, both student and patient safety, the Faculty of Medicine and Dentistry requires that all students must have their immunization status reviewed and updated as necessary by a qualified healthcare professional upon acceptance into a health sciences program. ([University Infectious Diseases Regulation](#))
- Police Information Checks and Protection for Persons in Care: Applicants should be aware that a clear Police Information Check (PIC) is required as a condition of admission and that any criminal charges pending must be declared. ([Requirement for Police Information Checks](#)); ([Protection for Persons in Care](#))
- Professional Standards for Students in the Faculty of Medicine and Dentistry: ([Professional and Ethical Standards](#))
- The Department of Dentistry Technical Standards Policy: defines the necessary knowledge, skills, professional behaviors, and attitudes expected of students. ([Technical Standards](#))

### **Length of Program**

The time required to complete the PhD will vary according to the previous training of the applicant and the nature of the research undertaken; however, a minimum of six years is considered normal.

The maximum time permitted to complete the PhD program as set by the Faculty of Graduate Studies and Research is six years.

### **The Degree of PhD in Medical Sciences - Periodontology [Graduate]**

The Department of Dentistry offers the degree of PhD in Medical Sciences - Periodontology. It is a full-time research training program with clinical training integrated into it.



## The Degree of PhD in Medical Sciences - Periodontology [Graduate]

### General Information

The PhD in Medical Sciences - Periodontology program is a full-time thesis-based program with clinical training integrated into it.

For the PhD in Medical Sciences – Periodontology program, applications will be received and reviewed by the Division of Periodontics Committee followed by approval by the Graduate Studies Committee (see Medical Sciences).

Information about the program and the online application form may be found at [www.ualberta.ca/school-of-dentistry/programs-and-admissions/graduate-studies/phd-periodontology](http://www.ualberta.ca/school-of-dentistry/programs-and-admissions/graduate-studies/phd-periodontology).

The application deadline is September 1 for the following September admission.

Students enrolled in the PhD in Medical Sciences – Periodontology program will not have the option of transferring to the MSc in Medical Sciences – Periodontology program.

### Entrance Requirements

In addition to the general entrance requirements (Dentistry), applicants must have completed a Doctor in Dental Surgery (DDS) or equivalent dental professional designation prior to the start of the program. The Department of Dentistry also requires a Master's degree or consent of both the Department of Dentistry and the Division of Periodontology in order to apply.

[moved down from Entrance Requirements]  
The Department's normal requirements for admission of graduate students are a minimum of 3.0 or equivalent GPA during the last two years of an undergraduate or graduate degree at the University of Alberta, or equivalent qualification from another institution,

and a TOEFL score of at least 580 (paper-based) or 95 with at least 20 per section (Internet-based), or a MELAB minimum score of 91; or a CAEL minimum score of 70 with at least 70 on each subtest; or an IELTS (Academic) minimum score of 7.5 with at least 6 on each band, where applicable (see English Language Requirement). Admission is dependent upon the recommendation of the Department of Dentistry's Graduate Committee and the Medical Sciences Graduate

### Entrance Requirements

The Department's minimum admission requirements are a Doctor of Dental Surgery (DDS) or equivalent and a master's degree with an average of 3.0 on a four-point scale in the last ★60 or two years of undergraduate or graduate work at the University of Alberta, or an equivalent qualification from a recognized institution.

Applicants without a master's degree must have consent of both the Department of Dentistry and the Division of Periodontology.

Where applicable, applicants must provide proof of English Language Proficiency (refer to [English Language Requirement](#)). Any one of the following is acceptable:

- TOEFL (paper-based) minimum score 580;
- TOEFL (internet-based) minimum score 95 with at least 20 per section;
- MELAB minimum score of 91;
- CAEL minimum score of 70 with at least 70 on each subtest;
- or an IELTS (Academic) minimum score of 7.5 with at least 6 on each band.

All applicants are also required to submit the following:

- a current curriculum vitae
- a statement of intent
- three letters of recommendation (two must be professional)



~~Program Committee. In addition, the applicant's curriculum vitae, previous research experience, letters of recommendation and statement of intent will be considered for the admission decision. Other facts would be considered on a case per case basis. All short listed PhD applicants will be interviewed by representatives of the Department's Graduate Studies Committee.~~

~~A suitable supervisor must be identified to support the applicant.~~

~~Applicants to the Periodontology program must:~~

- ~~• Provide an official letter from their dental school noting their class ranking upon graduation from dentistry.~~
- ~~• Have at least one year of experience as a licensed dentist within three years prior to the start of the program. Letter(s) of good standing from current and previous licensing bodies must be provided.~~
  
- ~~• Complete a required personal interview if short-listed. Those applicants will be advised of the arranged interview date by e-mail.~~
- ~~• Identify a suitable supervisor to provide support.~~

~~[moved below to Program Requirements – Requirements for Clinical Courses]~~

~~For applicants that are not licensed by Alberta Dental Association and College (ADA&C), a condition of admission is for candidates to obtain registration on the Education and Research Register from the ADA&C by August 1 prior to starting the program in the Fall Term. Candidates who already possess a full license from the ADA&C do not need to obtain additional licensure.~~

## Program Requirements

- An official letter from their dental school noting their class ranking upon graduation from dentistry.
- Completion of at least one year of experience as a licensed dentist prior to the start of the program is preferred.
- Applicants must have a license to practice Dentistry in Alberta, or must have passed the NDEB examination of Canada.
- Applicants who are not licensed but in a Canada/USA accredited GPR program are required to obtain a letter from the Program Director stating they are in good standing with no professional conduct issues.
- A personal interview is required for short-listed applicants. These applicants will be advised of the arranged interview date by e-mail.
- Identify a suitable supervisor to provide support.

Admission is dependent upon the approval of the Department of Dentistry's Graduate Studies Committee, the Division of Periodontics Selection Committee, and the Medical Sciences Graduate Program Committee (see Medical Sciences).

### Program Requirements

Students are required to complete a minimum of ★69 in required coursework, including ★12 to be completed during the research component, and ★57 to be completed during the clinical component. The program also consists of seminars and a thesis.

The clinical requirements involve successful completion of a selected number of teaching cases. Clinical training will not start until defined research milestones are attained and the candidacy examination is successfully passed. Clinical training will start in September immediately after these conditions are met.

The program of study is determined in consultation with the supervisor and supervisory committee. The research component will be exclusively performed during the first two years.

The program of study and professional development requirements are determined in consultation with the supervisor and supervisory committee. ~~PhD-level training including relevant coursework and a research component that will be exclusively performed during the first two years. Successful completion of the PhD candidacy examination will be required by October 1 prior to the academic year the student starts their clinical training. This will allow the allocation of a clinical training spot for the following September start. The requirements for the degree include coursework, a clinical component, and elective coursework pertinent to the PhD and a thesis.~~

Students enrolled in the PhD in Medical Sciences - Periodontology will not have the option of transferring to the MSc in Medical Sciences - Periodontology program but may switch to a ~~non-clinical~~ MSc in Medical Sciences.

- OBIOL 500 - Oral Biology I
- OBIOL 501 - Oral Biology II
- DENT 542 - Research Methodology
- DENT 551 - Introduction to Applied Statistics
- ~~DENT 552 - Applied Multivariate Statistical Analysis~~
- DENT 565 - Evidence Based Dentistry
- DENT 566 - Systematic Reviews in Dentistry
- DENT 572 (6) - Periodontology Seminars
- DENT 573 - Periodontology Clinics
- DENT 672 (6) - Periodontology Seminars
- DENT 673 - Periodontology Clinics
- DENT 772 (6) - Periodontology Seminars
- DENT 773 - Periodontology Clinics

Students enrolled in the PhD in Medical Sciences - Periodontology will not have the option of transferring to the MSc in Medical Sciences - Periodontology program but may switch to the MSc in Medical Sciences - Dentistry or MSc in Medical Sciences - Oral Biology.

Prior to joining the clinical component of the PhD program, students must complete the following courses as part of their research component (★8)

- DENT 542 (1) - Research Methodology
- DENT 551 (3) - Introduction to Statistics
- DENT 565 (1) - Evidence Based Dentistry
- DENT 566 (1) - Systematic Reviews in Dentistry
- DENT 601 (2) - Seminars in Oral Health Sciences

Elective courses (★4)

- Students must complete ★4 in graduate-level courses chosen in consultation with the program director and their supervisor.

First Year of Clinical Training (★27)

- DENT 562 (2) - TMD/Orofacial Pain
- DENT 570 (3) - Periodontology Fundamentals I
- DENT 571 (3) - Implantology Fundamentals I
- DENT 572 (3) - Periodontology Seminars I
- DENT 573 (10) - Periodontology Clinics I
- OBIOL 500 (3) - Oral Biology I
- OBIOL 501 (3) - Oral Biology II

Second Year of Clinical Training (★18)

- DENT 601 (2) - Seminars in Oral Health Sciences
- DENT 671 (3) - Implantology Fundamentals II
- DENT 672 (3) - Periodontology Seminars II
- DENT 673 (10) - Periodontology Clinics II

Third Year of Clinical Training (★12)

- DENT 771 (1) - Implantology Fundamentals III
- DENT 772 (1) - Periodontology Seminars III
- DENT 773 (10) - Periodontology Clinics III

Thesis

- Registration in 900-level THES. Students are required to complete and defend a thesis.

Candidacy exam

Successful completion of the PhD candidacy examination will be required by October 1 prior to the academic year the student starts their clinical training. This will allow the allocation of a clinical training spot for the following September start.

[moved down from Entrance Requirements]  
For applicants that are not licensed by Alberta Dental Association and College (ADA&C), a condition of admission is for candidates to obtain registration on the Education and Research Register from the ADA&C by August 1 prior to starting the program in the Fall Term. Candidates who already possess a full license from the ADA&C do not need to obtain additional licensure.

Successful completion of the PhD candidacy examination will be required by October 1 prior to the academic year the student starts their clinical training. This will allow the allocation of a clinical training spot for the following September start.

#### Seminars

Students have an attendance requirement for the Discover Dental Sciences seminars and to participate in the Graduate Student Research Day.

#### Requirements for Clinical courses

These requirements must be met prior to starting the clinical courses. If there is an associated fee, students are responsible for the costs incurred.

- [moved down from Entrance Requirements] Accepted applicants who are not licensed by the Alberta Dental Association and College (ADA&C) at the time of the start of the clinical component of the program must obtain registration on the ADA&C Education and Research Register by August 1 prior to the start of the clinical program in the Fall Term. Applicants who are in possession of an active full license from the ADA&C do not need to obtain additional licensure.
- Medical Testing and Immunization Requirements: To ensure, insofar as possible, both student and patient safety, the Faculty of Medicine and Dentistry requires that all students must have their immunization status reviewed and updated as necessary by a qualified healthcare professional upon acceptance into a health sciences program. ([University Infectious Diseases Regulation](#))
- Police Information Checks and Protection for Persons in Care: Applicants should be aware that a clear Police Information Check (PIC) is required as a condition of admission and that any criminal charges pending must be declared. ([Requirement for Police Information Checks](#)); ([Protection for Persons in Care](#))
- Professional Standards for Students in the Faculty of Medicine and Dentistry: ([Professional and Ethical Standards](#))
- The Department of Dentistry Technical Standards Policy: defines the necessary knowledge, skills, professional behaviors, and attitudes expected of students. ([Technical Standards](#))

#### **Length of Program**

The time required to complete the PhD will vary according to the previous training of the applicant and the nature of the research undertaken.

**Length of Program**

The time required to complete the PhD will vary according to the previous training of the applicant and the nature of the research undertaken; ~~however, a minimum of six years is required with six to seven years being the expected norm.~~

**Graduate Courses**

Dentistry related graduate courses can be found in Course Listings, under the subject headings Dentistry (DENT), Dental Hygiene (D HYG) and Oral Biology (OBIOL).

The maximum time permitted to complete the program as set by the Faculty of Graduate Studies and Research is six years.

**Graduate Courses**

Dentistry related graduate courses can be found in Course Listings, under the subject headings Dentistry (DENT), Dental Hygiene (D HYG) and Oral Biology (OBIOL).

Justification: Changes reflect FGSR request to include all program requirements and change in format. No new or substantive changes are proposed, not already approved by Dentistry, Medical Sciences and FGSR.

Approved by: Department Council June 6<sup>th</sup>, 2018, Medical Sciences June 12<sup>th</sup>, 2018, FoMD Graduate Studies Committee June 18<sup>th</sup>

FoMD Faculty Learning Committee – July 11, 2018

FoMD Faculty Council (for information) – July 24, 2018

**Governance Executive Summary  
Action Item**

Agenda Title: **Proposal from the Faculty of Graduate Studies and Research for Program Changes to the Master of Science in Medical Sciences – Medical Genetics and the PhD in Medical Sciences – Medical Genetics, Faculty of Medicine and Dentistry**

**Motion:** THAT the GFC Academic Planning Committee approve, with delegated authority from General Faculties Council, the proposed changes to the Master of Science in Medical Sciences – Medical Genetics and the PhD in Medical Sciences – Medical Genetics, in the Department of Medical Genetics, as submitted by the Faculty of Medicine & Dentistry, and the Faculty of Graduate Studies & Research, as set forth in Attachment 1, to take effect upon approval.

**Item**

|                  |  |
|------------------|--|
| Action Requested | <input checked="" type="checkbox"/> Approval <input type="checkbox"/> Recommendation   |
| Proposed by      | Richard N. Fedorak, Dean, Faculty of Medicine and Dentistry<br>Deborah Burshtyn, Interim Dean and Vice Provost, Faculty of Graduate Studies and Research                     |
| Presenter(s)     | Rachel Wevrick, Graduate Coordinator, Medical Genetics, Faculty of Medicine and Dentistry<br>Janice Causgrove Dunn, Associate Dean, Faculty of Graduate Studies and Research |

**Details**

|   |  |
|---|--|
| Responsibility  | Provost and Vice-President (Academic)  |
| The Purpose of the Proposal is<br><i>(please be specific)</i>                       | To ensure that all program requirement for the Master's and Doctoral programs in the Department of Medical Genetics in the Faculty of Medicine and Dentistry are reflected in the University Calendar.   |
| Executive Summary<br><i>(outline the specific item– and remember your audience)</i> | <p>In 2017/18, the Faculty of Graduate Studies and Research embarked on a project to ensure that the regulations and requirements of all graduate programs were appropriately reflected in the University Calendar.</p> <p>Historically, this information was contained in annually approved departmental guidelines and, with the increased use of websites, much of this information moved over to that platform. It was recognized that websites provide accessibility for students and flexibility for programs; however, as a means of tracking date sensitive information, websites are not considered to be ideal. As such, all graduate programs are reviewing their documents and will be coming forward with additions and modifications to Calendar entries to ensure compliance with the FGSR guidelines.</p> <p>The Master of Science in Medical Sciences – Medical Genetics and PhD in Medical Sciences - Medical Genetics calendar revisions reflect current practice as published in the Department of Medical Genetics Graduate Student Manual 2017-2018 and are highlighted in yellow in Attachment 1.</p> <p>The entire proposal as submitted has received approval by the FoMD Faculty Learning Committee, with delegated authority from FoMD Faculty Council. FGSR has delegated authority to teaching Faculty for program changes.</p> |

Item No. 8

|                                 |   |
|---------------------------------|---|
| Supplementary Notes and context | All revisions to entrance requirements and/or academic standing were considered and approved by the Academic Standards Committee, with delegated authority from GFC, on September 20, 2018. |
|---------------------------------|---|

**Engagement and Routing** (Include meeting dates)

|  |  |
|--|--|
| <p>Consultation and Stakeholder Participation (parties who have seen the proposal and in what capacity)</p> <p>&lt;For information on the protocol see the <a href="#">Governance Toolkit section Student Participation Protocol</a>&gt;</p> | <p><u><i>Those who are actively participating:</i></u></p> <ul style="list-style-type: none"> <li>Sarah Hughes, Chair and Associate Professor, Department of Medical Genetics</li> <li>Shari Barham, Administrative Office, Medical Genetics</li> </ul>  |
|  | <p><u><i>Those who have been consulted:</i></u></p> <ul style="list-style-type: none"> <li>Maria Chia (Graduate Calendar project specialist), Janice Hurlburt, Graduate Governance and Policy Coordinator</li> </ul>   |
|  | <p><u><i>Those who have been informed:</i></u></p>   |
| <p>Approval Route (Governance) (including meeting dates)</p>   | <p>Medical Sciences Graduate Program Committee – May 22, 2018<br/>           FoMD Graduate Program Committee – May 23, 2018<br/>           FoMD Faculty Learning Committee – May 31, 2018<br/>           FoMD Faculty Council (for information) – June 18, 2018<br/>           GFC ASC-SOS (for discussion) - September 6, 2018<br/>           GFC ASC - September 20, 2018<br/>           GFC Academic Planning Committee (for program requirements) – October 10, 2018</p> |

**Strategic Alignment**

|   |   |
|---|---|
| Alignment with <i>For the Public Good</i>   | <p>OBJECTIVE 21:<br/>           Encourage continuous improvement in administrative, governance, planning and stewardship systems, procedures, and policies that enable students, faculty, staff, and the institution as a whole to achieve shared strategic goals.</p>            |
| Alignment with Institutional Risk Indicator | Student Success   |
| Legislative Compliance and jurisdiction     | <p>Post-Secondary Learning Act (PSLA)<br/>           UAPPOL Admissions Policy<br/>           UAPPOL Academic Standing Policy<br/>           GFC Academic Standards Committee (ASC) Terms of Reference<br/>           GFC Academic Planning Committee (APC) Terms of Reference</p> |

Attachments (each to be numbered 1 - <>)

1. Medical Sciences – Medical Genetics graduate programs, Calendar change request

Prepared by: Maria Chia (Graduate Calendar project specialist) mchia@ualberta.ca

Killam Centre for Advanced Studies  
2-29 Triffo Hall Edmonton AB Canada T6G 2E1  
Tel: 780.492.2816 / Fax: 780.492.0692  
www.gradstudies.ualberta.ca

Highlighted sections for review/approval by Academic Planning Committee (APC)

**2019-2020 University of Alberta Proposed Calendar Graduate Program Changes:**

| Current   | Proposed  |
|---|---|
| <p><b>Graduate Programs</b></p> <p><b>Medical Genetics [Graduate]</b><br/>Department of Medical Genetics<br/>Faculty of Medicine and Dentistry<br/>839 Medical Sciences Building<br/>University of Alberta<br/>Edmonton, Alberta T6G 2H7<br/>E-mail: mggradpr@ualberta.ca</p> <p><b>General Information</b><br/>The Department of Medical Genetics offers the MSc in Medical Sciences (Medical Genetics) degree (see Medical Sciences) either as part of a postgraduate training program for post-MD applicants or as an independent degree program for those proceeding from a BSc. The PhD degree is granted through the Medical Sciences program (see The Degree of PhD). Research may be carried out in a variety of medical genetics-related disciplines for which staff in the Department have active research programs. Inquiries should be directed to the Graduate Coordinator in the Department of Medical Genetics.</p> <p><b>Entrance Requirements</b><br/>The Department's <del>normal</del> requirements for admission of graduate students are those of the Faculty of Graduate Studies and Research but stipulating a minimum of 3.2 or equivalent GPA during each of the previous two years of university and proof of English language proficiency, where applicable.</p> | <p><b>Graduate Programs</b></p> <p><b>Medical Genetics [Graduate]</b><br/>Department of Medical Genetics<br/>Faculty of Medicine and Dentistry 839<br/>Medical Sciences Building<br/>University of Alberta Edmonton,<br/>Alberta T6G 2H7<br/>E-mail: mggradpr@ualberta.ca</p> <p><b>General Information</b><br/>The Department of Medical Genetics offers the MSc in Medical Sciences (Medical Genetics) degree (see Medical Sciences) either as part of a postgraduate training program for post-MD applicants or as an independent degree program for those proceeding from a BSc. The PhD degree is granted through the Medical Sciences program (see The Degree of PhD). Research may be carried out in a variety of medical genetics-related disciplines for which staff in the Department have active research programs. Inquiries should be directed to the Graduate Coordinator in the Department of Medical Genetics.</p> <p><b>Entrance Requirements</b><br/>The Department's <u>minimum admission requirements are an undergraduate degree with an average of 3.2 on a four-point scale in the last ★60 or two years of undergraduate or graduate work at the University of Alberta, or an equivalent qualification from a recognized institution.</u></p> <p><u>Where applicable, applicants must provide proof of English Language Proficiency (refer to English Language Requirement). Any one of the following is acceptable:</u></p> <ul style="list-style-type: none"> <li>• <u>TOEFL (paper based) minimum score 600,</u></li> <li>• <u>TOEFL (internet based) minimum score overall 100 with at least 20 per section,</u></li> <li>• <u>Pearson Test of English (Academic) minimum score of 70,</u></li> <li>• <u>CAEL minimum score of 70 with 70 per section,</u></li> <li>• <u>MELAB minimum score of 91.</u></li> </ul> <p><u>All other proof of English language proficiency will</u></p> |

## Financial Assistance

Students are encouraged to apply for studentships from external agencies. Students may also be eligible for awards from the Faculty of Graduate Studies and Research and the Faculty of Medicine and Dentistry. ~~Limited financial assistance toward tuition costs is normally available from the Department, but not guaranteed from year to year.~~

## Graduate Program Requirements

### The Degree of MSc (Medical Genetics)-[Graduate]

#### Program Description

The general description for the MSc ~~in Medical Sciences (Medical Genetics)~~ is as presented for all MSc programs in Medical Sciences (see The Degree of MSc).

be evaluated on a case by case basis.

For all applicants, a curriculum vitae and a statement of interest and preferred area of research must also be included in the application.

#### Academic Standing Requirement

Students are required to maintain a minimum cumulative grade point average of B (3.0) or better throughout their program.

## Financial Assistance

Financial assistance in the form of Graduate Research Assistant Fellowships from supervisor operating funds is normally available to students in good standing.

Further information will be provided upon request.

Students are encouraged to apply for studentships from external agencies. Students may also be eligible for awards from the Faculty of Graduate Studies and Research and the Faculty of Medicine and Dentistry.

## Graduate Program Requirements

### The Degree of MSc in Medical Sciences - Medical Genetics [Graduate]

#### Program Description

The general description for the MSc program is as presented for all MSc programs in Medical Sciences (see [The Degree of MSc](#)).

Students are required to complete a minimum of ★6 in graded graduate-level coursework, and a thesis.

#### Required courses

- MDGEN 601 (★3) or MDGEN 605 (★3)
- MDGEN 602 (★1) taken three times.
- For students in the (MatCH) specialized umbrella scholarship program, course substitutions will be allowed with permission of graduate coordinator.

#### Thesis

- Registration in 900-level THES

#### Seminar

Students must present their research in progress at a seminar to the Department in the second year and fourth year (if applicable) of their graduate program.



## The Degree of PhD (Medical Genetics) [Graduate]

### Program Description

The general description for the PhD in ~~Medical Sciences (Medical Genetics)~~ is as presented for all PhD programs in Medical Sciences (see The Degree of MSe).

### **Residence Requirement**

The MSc program has a minimum residence requirement of one and a half academic years (where an academic year is defined as the eight-month period from September through April) of full-time on-campus registration.

### **Length of Program**

The maximum time to complete the thesis-based MSc program as set by the Faculty of Graduate Studies and Research is four years.

## **The Degree of PhD in Medical Sciences - Medical Genetics [Graduate]**

### Program Description

The general description for the PhD program is as presented for all PhD programs in Medical Sciences (see [The Degree of PhD](#)).

Students are required to complete a minimum of ★6 in graded graduate-level coursework, and a thesis.

### Required courses

- MDGEN 601 (★3) or MDGEN 605 (★3)
- MDGEN 602 (★1) taken three times.
- For students in the (MatCH) specialized umbrella scholarship program, course substitutions will be allowed with permission of graduate coordinator.

### Thesis

- Registration in 900-level THES

### Seminar

Students must present a research in progress seminar to the Department in the second year and fourth year of their graduate program.

### PhD Proposal

All PhD students must submit a [PhD Proposal](#) to the Medical Sciences Graduate Program (MSGP) committee. The proposal must be approved prior to the candidacy exam.

Students who changed program category to the PhD from an MSc program must submit a PhD proposal by 24 months into their graduate program.

Students who entered the PhD program having already completed the MSc degree must submit a PhD Proposal within the first 18 months of their program.

### Candidacy Exam

The candidacy exam includes a research proposal on a topic related to but not on their specific research topic as chosen by the supervisory committee from two student-proposed topic areas. The research proposal will consist of ten single spaced pages and one summary page.

Students who changed program category to the PhD from an MSc program are required to complete their candidacy exam within the first 36 months of their program.

Students who entered the PhD program having already completed the MSc degree are required to complete their candidacy exam within the first 24 months of their program.

**Residence Requirement**

The PhD program follows the minimum residence requirement of the Faculty of Graduate Studies and Research, which is two academic years (where an academic year is defined as the eight-month period from September through April) of full-time on-campus registration.

**Length of Program**

The maximum time to complete the PhD program as set by the Faculty of Graduate Studies and Research is six years.

**Graduate Courses**

Graduate courses can be found in [Course Listings](#) under the subject heading Medical Genetics (MDGEN).

Justification: Medical Sciences Graduate Program has reduced the course credits for both the MSc and PhD programs. The Department of Medical genetics has determined that in order for our students to acquire the sufficient critical analysis skills, knowledge base and scientific writing skills that we will require our students to have a slightly higher course credit requirement as outlined in the document. The core courses we will now require are also listed. This will be a significant reduction in overall course work allowing for shorter completion times, but will still provide sufficient training and skill development in the required areas for our discipline. We are not accepting IELTS as proof of English proficiency as we find this test has not been as strong of an indicator as others. Minimum residency is described for MSc program as FGSR calendar states this is set by the department. Follow FGSR residency standards for a PhD. Follow length of program for MSc and PhD as set by FGSR.

Approved by:

Medical Sciences Graduate Program Committee, May 22, 2018

Faculty of Medicine & Dentistry Graduate Program Committee, May 23, 2018

Faculty Learning Committee Approval - May 31, 2018

FoMD Faculty Council Committee Approval - June 18, 2018

**FINAL Item No. 9**
**Governance Executive Summary  
 Action Item**

Agenda Title: Report from the Dean, Faculty of Graduate Studies and Research, on the Name Change of the second level specialization for the MEd and PhD programs in the Department of Educational Psychology from Measurement, Evaluation and Cognition to Measurement, Evaluation and Data Science

**Motion:** THAT the GFC Academic Planning Committee receive the report of the Dean of Graduate Studies and Research on approvals with authority sub-delegated from GFC Academic Planning Committee concerning the name change of the second level specialization in Educational Psychology from Measurement, Evaluation and Cognition to Measurement, Evaluation and Data Science

**Item**

|                  |   |
|------------------|---|
| Action Requested | <input checked="" type="checkbox"/> Approval <input type="checkbox"/> Recommendation    |
| Proposed by      | Debby Burshtyn, Interim Vice-Provost and Dean, Faculty of Graduate Studies and Research |
| Presenter(s)     | Janice Causgrove Dunn, Associate Dean, Faculty of Graduate Studies and Research         |

**Details**

|  |   |
|--|---|
| Responsibility   | Provost and Vice-President (Academic)   |
| The Purpose of the Proposal is <i>(please be specific)</i>                       | The proposal is before the committee to formalize the reporting of decisions made by the Dean, Faculty of Graduate Studies and Research with authority sub-delegated by the GFC Academic Planning Committee.  |
| Executive Summary <i>(outline the specific item– and remember your audience)</i> | GFC Academic Planning Committee has sub-delegated authority over Graduate Degree Specializations (also referred to as second level specializations) to the Dean, Faculty of Graduate Studies and Research.<br><br>A formal receiving of the report by APC will increase transparency and traceability of the approvals. |
| Supplementary Notes and context  |   |

**Engagement and Routing (Include meeting dates)**

|   |  |
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| Consultation and Stakeholder Participation <i>(parties who have seen the proposal and in what capacity)</i> | <u>Those informed:</u> <ul style="list-style-type: none"> <li>FGSR Council in the Governance Report at the January 2019 meeting</li> <li>GFC Academic Planning Committee – receive for information October 10, 2018</li> </ul> |
| Approval Route (Governance) <i>(including meeting dates)</i>  | Department of Educational Psychology: March 1, 2018<br>Graduate Academic Affairs Committee (GAAC): May 7, 2018<br>Acting Dean, FGSR (Debby Burshtyn) May 28, 2018;   |

**Strategic Alignment**

|   |              |
|---|--------------|
| Alignment with <i>For the Public Good</i>   | Objective 21 |
| Alignment with Institutional Risk Indicator |              |

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|   |   |
|---|---|
| Legislative Compliance and jurisdiction | Post-Secondary Learning Act<br>GFC Academic Planning Committee terms of reference |
|---|---|

Attachments (each to be numbered 1 - <>)

1. Attachment 1 Report of the Interim Dean, Faculty of Graduate Studies and Research on name change of 2<sup>nd</sup>-Level specialization for the MEd and PhD program to Measurement, Evaluation and Data Science

*Prepared by:* Faculty of Graduate Studies & Research, and University Governance



To: GFC Academic Planning Committee

Date: September 26, 2018

From: Debby Burstyn, Interim Vice-Provost and Dean  
Faculty of Graduate Studies and Research

Re: Graduate Degree (second-level) Specializations

The following proposal for graduate degree specializations or modifications to approved specializations within existing graduate degrees were submitted to the Faculty of Graduate Studies and Research. Students with approved graduate degree specializations will have the designation appear on the thesis title page, transcript, and parchment, as a second level specialization. Before graduate degree specializations are approved by the FGSR, it must be clear that the department’s proposed designation does not require significant additional resources, that it has sufficient viability in terms of numbers of academic staff in the research area, and that a library impact assessment has been completed.

According to the Academic Planning Committee’s terms of reference, all proposals for the establishment of graduate degree specializations shall be submitted to the Dean of the Faculty of Graduate Studies and Research. The Dean, after consultation, may approve proposals which do not involve base operating or capital funds; the Dean will report these approvals to the Academic Planning Committee for information.

**Department of Educational Psychology**

|  |   |
|--|---|
| <b>2nd-Level specialization for the MEd (course-based), MEd (thesis-based) and PhD programs</b>  | <b>Name Change</b>                          |
| From Measurement, Evaluation and Cognition   | To Measurement, Evaluation and Data Science |
| <p>The proposed specialization title change is to:</p> <ol style="list-style-type: none"> <li>1. Adjust to the profound changes in the field of educational measurement and evaluation due to the growing interests and demands of extracting patterns and meaning from complex student data for evidence-based decision making.</li> <li>2. Contemporize, augment and update the focus of our graduate programs and attract students who are interested in designing and analyzing modern educational assessments with digital technology and data analytics.</li> <li>3. Better project the integration of the associated faculty members’ research, scholarship and teaching.</li> </ol> <p>A potential outcome of our name change is to attract students who are interested in designing and analyzing modern educational assessments with digital technology and data science.</p> <p>There is only one other educational measurement program in Canada, offered by the University of British Columbia. The program title is “Measurement, Evaluation, and Research Methodology”. We have consulted with the senior professor in the program, Dr. Bruno Zumbo, and no concerns have been raised.</p> <p>Approved:<br/> Department of Educational Psychology: March 1, 2018<br/> Graduate Academic Affairs Committee (GAAC): May 7, 2018<br/> Acting Dean, FGSR (Debby Burshtyn) May 28, 2018;<br/> Will be reported to FGSR Council in the Governance Report at the January 2019 meeting.</p> |   |

Department: **Educational Psychology [Graduate ] General Information**

Implementation:  Normal  
 Early (must provide rationale & assurance that affected students can be contacted)

Type of Change:  New Course<sup>Ⓛ</sup>  Editorial Change  New Program<sup>Ⓜ</sup>  Course Deletion

- <sup>Ⓛ</sup> Attach information as per GAAC request (see page 2)
- <sup>Ⓜ</sup> Attach FGSR proposal

**Rationale for Proposal** (Note: A detailed rationale must be provided for each submission)

The proposed specialization title change (from Measurement, Evaluation and Cognition to Measurement, Evaluation and Data Science) is to:

1. Adjust to the profound changes in the field of educational measurement and evaluation due to the growing interests and demands of extracting patterns and meaning from complex educational data for evidence-based decision making.
2. Contemporize, augment and update the focus of our graduate programs and attract students who are interested in designing and analyzing modern educational assessments with digital technology and data analytics.
3. Better project the integration of the associated faculty members' research, scholarship and teaching.

Is this a submission of  Consultation and Notice of Motion? Or  Formal Motion for Approval?  
*(If so, provide date of Notice of Motion)*

**Calendar Copy**

Current Calendar Link (Insert below):

[http://calendar.ualberta.ca/preview\\_program.php?catoid=20&poid=19108&returnto=5146](http://calendar.ualberta.ca/preview_program.php?catoid=20&poid=19108&returnto=5146)

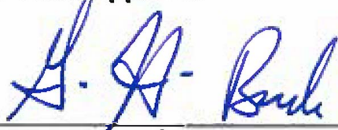
**CURRENT CALENDAR**  
*(Use strike out for all changes)*

The Department offers programs leading to the degree of PhD in the following specializations: Psychological Studies in Education; School and Clinical Child Psychology; Counselling Psychology (CPA accredited); Special Education; Measurement, Evaluation and Cognition; and Studies in Teaching and Learning English as a Second Language (TESL). Programs leading to the degree of MEd (thesis-basis) are offered in the following specializations: Psychological Studies in Education; School and Clinical Child Psychology; Counselling Psychology; School Counselling; Measurement, Evaluation and Cognition; Special Education; Technology in Education; and Teaching English as a Second Language (TESL).


**PROPOSED CALENDAR**  
*(Underline all additions)*

The Department offers programs leading to the degree of PhD in the following specializations: Psychological Studies in Education; School and Clinical Child Psychology; Counselling Psychology (CPA accredited); Special Education; Measurement, Evaluation and Data Science; and Studies in Teaching and Learning English as a Second Language (TESL). Programs leading to the degree of MEd (thesis-basis) are offered in the following specializations: Psychological Studies in Education; School and Clinical Child Psychology; Counselling Psychology; School Counselling; Measurement, Evaluation and Data Science; Special Education; Technology in Education; and Teaching English as a Second Language (TESL).

**Department Chair Approval**



Signature



Date

**Governance Executive Summary**  
**Action Item**

Agenda Title: **Proposed Sounds Studies Institute in the Faculty of Arts**

**Motion:** THAT the GFC Academic Planning Committee, under delegated authority from General Faculties Council, approve the new Sound Studies Institute, as proposed by the Faculty of Arts and contained within Attachment 1, to be effective immediately.

**Item**

|                  |   |
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| Action Requested | <input checked="" type="checkbox"/> Approval <input type="checkbox"/> Recommendation                  |
| Proposed by      | Lesley Cormack, Dean, Faculty of Arts   |
| Presenter(s)     | Mary Ingraham, Professor, Faculty of Arts<br>Steve Patten, Associate Dean (Research), Faculty of Arts |

**Details**

|   |  |
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| Responsibility  | Provost and Vice-President (Academic)  |
| The Purpose of the Proposal is<br><i>(please be specific)</i>                       | To approve the establishment of the Sound Studies Institute.   |
| Executive Summary<br><i>(outline the specific item– and remember your audience)</i> | <p>Sound studies is an interdisciplinary and transdisciplinary field that centralizes sound in research and creative practices. Sound studies in North America commonly links only broad issues of listening and technologies of sound reproduction and distribution, and is rooted in music, technology studies, and the social sciences. At the University of Alberta, the Sound Studies Institute pushes sound studies beyond a focus on human sonic activity and welcomes scholarship from any field or discipline that takes up sound in some way.</p> <p>Research in sound at the University of Alberta is rooted in exploration of hearing, vocalization, communication, cognition, sensory studies, acoustics, psychoacoustics, media, natural environments, and biological, information and computing sciences. The Sound Studies Institute (SSI) offers researchers opportunities to work together, to discover new areas of convergent enquiry, to benefit from collective administrative support for their research and teaching, and provides a philosophical and physical locus for collaboration and innovation across disciplines. The goal is less to define a method than to seek out intersections across research programs, and to support sound research through a collaborative and sustainable research network. Several collaborative projects are already underway for cross-disciplinary and cross-Faculty researchers.</p> <p>In addition to serving as an interdisciplinary community across Faculties and beyond the University, SSI stewards the historically, culturally, and philosophically significant Moses and Frances Asch Collection of Folkways Records. It is also a signatory to two important Memoranda of Understanding at the University of Alberta:</p> <ol style="list-style-type: none"> <li>1) with the Aboriginal Multi-Media Society of Alberta, and</li> <li>2) with the Cultures of Sound Network (partners include Smithsonian Folkways, the Canadian Museum of History, and Memorial University of Newfoundland).</li> </ol> <p>Opportunities created by the Sound Studies Institute go far beyond the</p> |

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interests of a single faculty member, department, or Faculty, as interdisciplinary and creative teams and complex research environments have the potential to increase legal and reputational risk for the University. We confirm that SSI has consulted extensively with senior management at the Faculty of Arts and with the University of Alberta's legal counsel to understand and mitigate these risks and to ensure only the highest level of professionalism in its governance and activities. We have articulated and shared with our community a clear purpose, mission, and statement of values that guide our work and inform our day-to-day practices. And we will continue to address issues as they arise with the assistance of senior management, UAlberta legal counsel, and a dedicated SSI governance team (Administrative Board, Research Committee, and Advisory Council) comprised of key stakeholders from senior positions who will also assist in monitoring and mitigating unforeseen risks in SSI activities on an ongoing basis.

Reputational and legal risks associated with the Moses and Frances Asch Collection (the audio and visual content of which is owned by the Smithsonian Center for Folklife and Cultural Heritage) and current collaborative work with Smithsonian Folkways have been addressed in consultation with UAlberta's legal counsel over the past three years, particularly in the areas of copyright and licensing for use of materials in the Asch Collection. We are confident that reputational and legal issues relating to audio and video materials in this collection are fully understood by all parties moving forward and that the possibility for unforeseen risk is therefore lessened.

The Sound Studies Institute is developed on a flexible, activity-based financial model and is intended to function based on a variety of sources including internal and external grants and fundraising. There is no significant risk in this model, as there are no long-term financial commitments that are not covered by current ongoing grants and funding sources; future activities will be scaled on as required in response to available funding.

The Faculty of Arts is providing strong, upfront funding for two years (to 2020) to assist SSI in building capacity for these inputs and to encourage financial self-sufficiency by the end of this period. Additionally, SSI has been building research capacity through grants and with the assistance of Affiliated Researchers for several years and our activities and research networks suggest continued success (and, indeed, increase) in funding support from multiple sources in the future.

The Sound Studies Institute is a space of reciprocity and community-building through sharing and listening that supports the work of individuals and teams at every stage of research. One of our primary activities is growing and fostering an active network of faculty, graduate and undergraduate students, and community partners. We help individuals and communities make important connections across their research, assist them in identifying research assistants and participants with specific skill sets, work with them to build innovative, interdisciplinary grant applications, and we offer technical and administrative support in areas such as project management and research dissemination.

Our Affiliated Researchers have told us that they also need informal



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|                                 | <p>channels to build and sustain their work. As an initiative, Sound Studies has been building this capacity for the past 20 months. The diverse disciplines of our Affiliated Researcher network – which currently includes researchers from the Faculties of Arts, Education, Engineering, Rehabilitation Medicine, Science, and Faculté Saint-Jean – demonstrate a clear need for (and the current absence of) such an interdisciplinary hub at the University of Alberta. Key faculty researchers from across the University of Alberta already affiliated with Sound Studies evidence national and international stature through consistent support from major national and international funding bodies, partnerships with provincial, federal and international corporations, publication outputs, and student demand for courses and graduate research programs.</p> <p>SSI will provide a physical and intellectual hub for sharing, exploring, supporting, and celebrating research in sound and to further the University of Alberta’s goals to engage, sustain, and excel.</p> |
| Supplementary Notes and context |  |

**Engagement and Routing** (Include meeting dates)

|  |   |
|--|---|
| <p>Consultation and Stakeholder Participation<br/>(parties who have seen the proposal and in what capacity)</p> <p>&lt;For information on the protocol see the <a href="#">Governance Toolkit section Student Participation Protocol</a>&gt;</p> | <p><u><i>Those who are actively participating:</i></u></p> <hr/> <p><b>Note:</b> We have been working in the Faculty of Arts to develop Sound Studies for nearly 2 years and thus have had considerable time to consult and inform. The list of names and communities below represents only a portion of our activities.</p> <p><u><i>Those who have been consulted:</i></u></p> <ul style="list-style-type: none"> <li>• Centres and Institutes Committee (CIC)</li> <li>• Andrea Patrick, Portfolio Initiatives Manager, Office of the Provost and Vice-President (Academic)</li> <li>• Arts Executive Committee: meeting February 27, 2018</li> <li>• Arts Faculty Council: meeting March 22, 2018</li> <li>• Arts Collaboration Enterprise (ACE)</li> <li>• Researcher Consultation Sessions, including all SSI Affiliated Researchers (see list of researchers included in application)</li> <li>• SSI Graduate and Undergraduate Student Researchers (through multiple email communications and in an SSI Graduate Student Networking Lunch on March 15, 2017 that was attended also by Assoc. VP (Research) Prof. Sue Hamilton)</li> <li>• Discussion with International Sound Studies Researchers, specifically members of the “Listening Across Disciplines” Research Network based at the University of the Arts London (members from Denmark, Netherlands, Germany and the UK) at meetings on December 15-16, 2016</li> </ul> <p><u><i>Those who have been informed:</i></u></p> <ul style="list-style-type: none"> <li>• Deans and Associate Deans of the Faculties of Education, Science, Rehabilitation Medicine and Faculté Saint-Jean;</li> </ul> |
|--|---|

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|   | <ul style="list-style-type: none"> <li>• Vice-Provost and Chief Librarian</li> <li>• All members of Arts Faculty Council</li> <li>• Directors of Faculty of Arts Centres and Institutes</li> <li>• Chair of Music and all members of Music Department Council</li> <li>• Michael Asch, son of the donors of the Asch Collection</li> <li>• External academic colleagues, including: Prof. Beverley Diamond and Prof. Harry Berger, MUN (CSN partners); Prof. Salomé Voegelin, Univ. Arts London; Prof. Sally Treloyn, Univ. of Melbourne, AU; Prof. Andrea Emberly, York University; and numerous other partners in collaborative research</li> <li>• Edmonton community colleagues, including: Bert Crowfoot, AMMSA; Terry Wickham, Edmonton Folk Music Festival; Bill and Betty-jo Werthman, Northern Lights Folk Club; Holger Pedersen, Stoney Plain Records</li> <li>• Smithsonian Folkways and Smithsonian Centre for Folklife and Cultural Heritage, including: Michael Mason, Huib Schippers, and Atesh Sonneborn (partners in CSN)</li> <li>• Canadian Museum of History, Judith Klassen (CSN partner)</li> </ul> |
| Approval Route (Governance) (including meeting dates) | GFC Academic Planning Committee – October 10, 2018  |

**Strategic Alignment**

|   |  |
|---|--|
| Alignment with <i>For the Public Good</i>   | <p><b>OBJECTIVE 11:</b><br/>Advance the University of Alberta’s reputation for research excellence by pursuing fundamental and original questions and ideas, pushing the frontiers of knowledge, inspiring creative experimentation, driving innovation, and advancing society.</p> <p><b>OBJECTIVE 13:</b><br/>Enable University of Alberta researchers to succeed and excel.</p> <p><b>OBJECTIVE 16:</b><br/>Enhance, increase, and sustain reciprocal, mutually beneficial community relations, community engagement, and community-engaged research and scholarship that will extend the reach, effectiveness, benefit, and value of our university-community connections.</p> <p><b>OBJECTIVE 17:</b><br/>Facilitate, build, and support interdisciplinary, cross-faculty, and cross-unit engagement and collaboration.</p> |
| Alignment with Institutional Risk Indicator | <p><b>Risk: Research Enterprise</b><br/>Risk statement: If the university does not effectively manage and support its research enterprise it will be unable to fulfill its mission and academic goals as an internationally recognized research-intensive university.</p> <p><b>Risk: Reputation</b><br/>Risk Statement: If the university does not protect and enhance its reputation, it could fail to achieve its academic mission and goals.</p> <p><b>Risk: Relationships with Stakeholders</b><br/>If the university does not establish and maintain constructive</p>  |

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|---|---|
|   | relationships with its key stakeholders, it could fail to achieve its academic mission and goals.                           |
| Legislative Compliance and jurisdiction | Post-Secondary Learning Act<br>GFC Academic Planning Committee Terms of Reference<br>Centres and Institutes Policy (UAPPOL) |

Attachments:

1. Attachment 1: Sound Studies Institute Proposal
2. Attachment 2: Sound Studies Institute Advisory Bodies




*Prepared by:* Mary I. Ingraham, Director, SSI; [maryi@ualberta.ca](mailto:maryi@ualberta.ca); Andrea Patrick, Portfolio Initiatives Manager, Office of the Provost and Vice-President (Academic), [apatrick@ualberta.ca](mailto:apatrick@ualberta.ca)

## University of Alberta Template for Proposals to Establish New Academic Centres and Institutes

Proposers will complete and submit this template to the Office of the Provost for approval in accordance with UAPPOL Policy. This template may be used in two ways:

- 1) As a cover document attached to a completed proposal which has already been approved by the University for submission for external funding. In this case, the template must present the academic arguments for establishing an academic centre or institute, and provide required information that is absent from the original proposal.
- 2) As an expandable template to be completed. In this case, the completed template may be up to 8 to 10 pages in length (not including letters of support or other appendices relevant to the proposal).

Before developing a proposal and completing this template, please contact the Office of the Provost to discuss the scope of the proposed initiative and to discuss steps for review under the UAPPOL Centres and Institutes Policy, as well as associated procedures for academic centres and institutes – [www.uappol.ualberta.ca](http://www.uappol.ualberta.ca) .

|   |   |   |   |                        |
|---|---|---|---|------------------------|
| 1.  | <b>Faculty Dean Signature</b>   | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 70%; padding: 5px;">                 Signature:<br/>  </td> <td style="width: 30%; padding: 5px;">                 Date:<br/>                 11 April 2018             </td> </tr> </table> | Signature:<br> | Date:<br>11 April 2018 |
| Signature:<br> | Date:<br>11 April 2018  |   |   |                        |
| 2.  | <b><u>Name of the Proposed Centre or Institute</u></b>  |   |   |                        |
|   | SOUND STUDIES INSTITUTE   |   |   |                        |
| 3.  | <b><u>Academic Justification for Establishment of a Centre or Institute</u></b>   |   |   |                        |
|   | <p><b>What is Sound Studies?</b><br/>                 Sound Studies is not a discipline, per se, but rather an interdisciplinary and transdisciplinary habit of centralizing sound in research and creation practices. Sound Studies work in North America commonly links issues regarding listening and technologies of sound reproduction and distribution, and can be found in research rooted in music, technology studies, and social sciences.</p> <p><b>The Sound Studies Institute at the University of Alberta</b> pushes sound studies beyond a focus on human sonic activity. It welcomes scholarship from any field or discipline that takes up sound in some way. The goal is less to define a method than to seek out intersections across research programs, and to support sound research through a collaborative and sustainable research network.</p> <p><b><u>Purpose:</u></b> The Sound Studies Institute fosters communities through collaborative research in sound.</p> <p>Our purpose is founded on three intersecting factors. First, a mandate to honour, celebrate, and explore the sounds of our time and place, as Moses Asch strove to do throughout his work and life. This stems from our historical roots as folkwaysAlive! and as stewards of the Moses and Frances Asch Collection of Folkways Records. Today, this means for us adopting a fundamentally interdisciplinary approach to thinking about creating, exploring, and celebrating the sounds of human and non-human communities.</p> |   |   |                        |

Second, that researchers working with sound will benefit from the fostering of a community in which they can try out methodologies, build practical skill sets, and discover new opportunities for collaboration across disciplines. One of the University's strategic goals is to engage communities across campuses, city and region, province, nation and the world, and this resonates with our own work across our faculties and within the local community, as well as at research institutions around the world. The exploration of sound is, like sound itself, frequently at odds with the strictures of boundaries, be they disciplinary, physical, or philosophical. It therefore demands open-ended, inclusive, and respectful research approaches.

Third, that our communities are vibrant and vital collections of activities that depend on reciprocity for sustainability. The Sound Studies Institute builds on the interests and labours of its Affiliated Researchers, and in return it offers those in its network support in research management, development, and dissemination. There are currently twenty-two such researchers from across six University of Alberta Faculties. We amplify and extend the work of our colleagues and peers. We employ transdisciplinary approaches to research and creative outputs rooted in the exploration of hearing, vocalization, communication, cognition, sensory studies, acoustics, psychoacoustics, media, natural environments, and information and computing sciences. In doing so, we create opportunities for discovery and dissemination beyond the limits of individual departments, disciplines, and indeed beyond the University itself.

**Mission: Leading with listening, we create a supportive space where curiosity can transcend disciplinary boundaries.**

The Sound Studies Institute fosters the work of individuals and teams at every stage of research. One of our primary activities is growing and fostering a network of faculty members, graduate and undergraduate students, and community members. We see our space as a physical and intellectual hub, wherein we help researchers make important connections, identify research assistants with specific skill sets, build innovative, interdisciplinary grant applications, and offer technical and administrative support for a variety of research projects. Perhaps most importantly, we are a space of reciprocity and community-building through sharing and listening. Our Affiliated Researchers have told us that they need informal channels to build and sustain their research. As an initiative, Sound Studies has been building the capacity for this over the past 12 months. The diverse disciplines of our Affiliated Researcher network – which includes faculty from Faculties of Arts, Education, Engineering, Rehabilitation Medicine, Science, and Faculté Saint-Jean – demonstrate a clear need for, and current absence of, such an interdisciplinary hub at the University of Alberta.

**Positioning the University of Alberta as a national and International Leader**

Research in sound is a well-established area of focus in disciplines such as communications (see McGill's Media lab and Northwestern's MA in Sound Arts and Industries) and music studies (see Memorial University's Research Centre for the Study of Music, Media and Place). What makes this institute different from other sound studies programs in Canada and abroad (especially from Australian and European models) is a genuinely transdisciplinary approach that is neither solely connected to music nor fundamentally grounded in technology. We are interested instead in exploring a much broader field that includes historical, cultural, medical, environmental, technological, and other interests and applications.

Key faculty researchers from across the University of Alberta already affiliated with Sound Studies evidence national and international stature through consistent support from major national and international funding bodies, partnerships with provincial, federal and international corporations,

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|    | <p>publication outputs, and student demand for courses and graduate research programs. A short list of grants and partnerships currently held by these researchers alone includes 6 active NSERC and 7 SSHRC grants, 5 KIAS grants, several arts council grants including the Edmonton Arts Council and the Alberta Foundation for the Arts. Other support comes from partners beyond the academy, including: Environment Canada and Climate Change, Canada, Alberta Oil Sands Environmental Monitoring, National Science Foundation, BioWare, Alberta Biodiversity Monitoring Institute, ConocoPhillips, Suncor Energy, Shell Canada, Alberta-Pacific Forest Industries, Inc., the Aboriginal Multi-Media Society of Alberta (AMMSA), and the Canadian Museum of History.</p> <p>The Sound Studies Institute sets the University of Alberta apart both in its expansive transdisciplinarity, and in its focus on sustainable research relationship-building as the foundation for, rather than the by-product of, innovative projects. Current projects supported by Sound Studies demonstrate the vivacity of our network, and future plans suggest its extraordinary potential.</p> <p>Current projects receiving research support from Sound Studies include:</p> <ul style="list-style-type: none"> <li>• “Connecting Culture and Childhood” (an international project with SSHRC funding; Ingraham Co-applicant)</li> <li>• “Deep Learning for Sound Recognition” (an interdisciplinary project utilizing Big Data and machine learning, currently with KIAS funding: Frishkopf, PI, and Collaborators: Bulitko, Baynes, Ensslin, Smallwood, Tucker, Luyk, and Ingraham; with ARC)</li> <li>• “Digitizing the Ancestors,” in collaboration with AMMSA (Ingraham, PI, Tucker, Co-applicant, and Luyk, Collaborator; with ARC)</li> <li>• Faculty of Arts’ Qureshi Archive Project (Byl, PI, and Frishkopf Co-applicant; with ARC)</li> <li>• “Spoken Web” project – inter-institutional expansion (O’Driscoll, Co-applicant; with ARC)</li> <li>• “Resounding Culture,” a digital research initiative focused on Canadian musical and sonic archiving (Ingraham, PI and Luyk, Collaborator; with ARC).</li> </ul> <p>Discussions are ongoing regarding research support for projects with several Affiliated Researchers that will anticipate funding through NSERC, CFI, and SSHRC, as well as industry and community partners. We are also in discussions for a future partnership with the <i>Listening Across Disciplines</i> research network (Co-Investigators Salomé Voegelin and Anna Barney) based in the United Kingdom, thus building the University of Alberta’s international research profile in interdisciplinary contexts.</p> <p><i>Please see appended list of Affiliated Researchers and associated lab/groups (10-11).</i></p> |
| 4. | <p><b>Provide a statement of the priority of the proposed centre or institute within the overall priorities of the Faculty and/or the University of Alberta. Include a <u>statement of benefits</u> the University of Alberta could expect to receive through creation of the proposed centre or institute, including benefits to students.</b></p> <p>We are stewards of the historically, culturally, and philosophically significant Moses and Frances Asch Collection of Folkways Records, and an interdisciplinary community that extends across Faculties and beyond the University. As such, the Sound Studies Institute creates a physical and intellectual hub for sharing, exploring, supporting, and celebrating research in sound. In doing so we further the University’s goals to engage, sustain, and excel. We also uphold the values of the Faculty of Arts, our home Faculty, in our curiosity-driven inquiry, opportunities for dialogue and creation, creative collaborations, and creating new opportunities for both graduate and undergraduate students.</p> <p>Sustainable, interdisciplinary research practices require the pooling of resources and expertise. The Sound Studies Institute operationalizes an existing community of enthusiastic and engaged researchers, thus mitigating the time-consuming, frustrating labour of building meaningful research</p>  |

relationships for students, community members, and faculty engaged in sound research. This will help the University excel in interdisciplinary, distinctive research, while supporting a sustainable research environment for our people.

Another way that we build sustainable and supportive space is by integrating the spirit of reciprocity with the rigour of inter- and transdisciplinary work—an immediate connection to the first goal of UAlberta’s new institutional strategic plan, *For the Public Good*. At the Sound Studies Institute, intellectual leadership circulates among our Affiliated Researchers, thus underpinning a sense of mutual responsibility and support. The diversity of our expertise produces a fundamentally open-ended and capacious interchange of curiosity and knowledge creation.

The Sound Studies Institute resonates with the academic goals articulated by the Faculty of Arts as well as the University as a whole. Our research network demonstrates individual excellence in various fields, and under the collective umbrella of the Sound Studies Institute, we will be better positioned to collaborate on innovative, interdisciplinary research and teaching that will benefit the University’s internal community and external reputation as a site of academic excellence.

**List of anticipated benefits**

*We recognize that many of these benefits are not mutually exclusive to faculty, students, or community members. We have organized them here based on conversations with founding Affiliated Researchers.*

The Sound Studies Institutes benefits the following groups through...

**1. Researchers**

- a. Informal networking opportunities to build relationships and discover original and innovative interdisciplinary research topics and applications
- b. Access to international, inter-institutional research exchange
- c. New capacity for hosting Postdoctoral Fellows
- d. Dissemination and promotion of research activities through online and network amplification (website, social media, other communications channels)
- e. Sourcing well-qualified Research Assistants from across departments and faculties
- f. Opportunities for transdisciplinary work within labs across campus (see attached list)
- g. Use of meeting space, presentation space, small computer / media lab and equipment

**2. Graduate Students**

- a. Providing an academic home for interdisciplinary projects
- b. Research skill development in collaborative contexts (i.e. workshop on field recordings, academic master classes) with faculty within, and beyond, their primary disciplines
- c. Funding and work opportunities via participation in large-scale, multi-year research projects
- d. Networking events with faculty and other graduate students within and beyond home departments or Faculty
- e. Opportunities to present research in informal and formal settings.
- f. Administrative support and institutional knowledge regarding trans-faculty learning, teaching, and research settings
- g. Access to professionalization opportunities through service, volunteering and administration related to interdisciplinary research

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|    | <ul style="list-style-type: none"> <li>h. Increased access to interdisciplinary courses, such as MUSIC 608 (Seminar in 20th Century Music: focus on theory and practices of listening) and CMPUT 605 (Topics in Computing Science: focus on deep learning for sound recognition); MUSIC 545 (Interactive Systems for Sound and Music)</li> <li>i. Development of new scholarships and awards</li> </ul> <p><b>3. Undergraduate Students</b></p> <ul style="list-style-type: none"> <li>a. Junior research assistantships with mentorship from graduate students, Postdoctoral Fellows, and research faculty</li> <li>b. Increased visibility of sound courses offered across disciplines, including MUSIC 245 (Introduction to Music Technologies), MUSIC 445 (Electroacoustic Music), CMPUT 250 (Computers and Games), and a course in development on sound physics</li> <li>c. Development of new scholarships and awards</li> </ul> <p><b>4. University of Alberta</b></p> <ul style="list-style-type: none"> <li>a. Increased collaboration across faculties</li> <li>b. Attraction of faculty, students, and fellows interested in sound research, and the administrative capacity to support them</li> <li>c. Increased capacity for large scale, trans- and interdisciplinary grants, particularly in collaboration with the Arts Resource Centre (ARC) and the Library's Digital Initiatives Unit</li> <li>d. New efficiencies resulting from shared best-practices and protocols for interdisciplinary work</li> <li>e. Facilitating faculty retention with supportive research community and opportunities for pedagogical innovation</li> <li>f. Enhanced and new long-term, sustainable relationships with communities off-campus in the Edmonton area, as well as provincially, nationally, and internationally</li> <li>g. Increased collaboration among research and community-focused units such as CSL and USchool</li> <li>h. Increased reputation as an institute promoting and supporting genuinely transdisciplinary research at local and international levels.</li> <li>i. Combining scientific, artistic, and humanistic inquiry in public contexts; increased profile of the University's unique opportunities for cross-disciplinary learning at undergraduate and graduate levels</li> </ul> <p><b>5. External Communities</b></p> <ul style="list-style-type: none"> <li>a. Sustainable, long-term relationships via respectful and reciprocal endeavours</li> <li>b. Increased access to, participation in, and familiarity with the University's research excellence through public activities and presentations, on- and off-campus</li> <li>c. Increased capacity for realizing digitization initiatives (large and small scale)</li> <li>d. New cross-sector collaborations, including those between academic, corporate, and other communities and stakeholders</li> <li>e. New opportunities and resources for research and exploration regarding community-held archives</li> </ul> |
| 5. | <p><b>Provide a description of the proposed centre/institute governance structure/reporting lines. <u>Include a diagram of organizational structure.</u></b></p> <p>The Sound Studies Institute will maintain both administrative and research structures and work with the Arts Collaboration Enterprise (ACE) as well as an Advisory Board.</p>   |



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|    | <p><b>Administrative:</b> The Director provides academic and administrative oversight for the Institute, with support from an Administrative Board. This Board advises on University policy and approves annual budgets and strategic planning for the Institute. An Administrative Assistant manages filing, communications, financial reporting, UAPPOL adherence, and reports to the Director. Currently filled half-time, it is anticipated that the Administrative Assistant position will need to increase to full-time in order to support increased levels of activity by Affiliated Researchers; an updated Administrative Board will be established upon confirmation of Institute status. It is also expected that, if digital archiving initiatives remain a central research focus, a new media lab technician position supervised by the Director will be necessary (this is anticipated to be a shared position with ARC or other Institutes and Centres).</p> <p><b>Research:</b> The capacity of Sound Studies is based on the participation and commitments of Affiliated Researchers (currently numbering 22) and at least one Postdoctoral Fellow. Reporting to the Director, the Postdoctoral Fellow manages research outreach activities and the network of Affiliated Researchers and graduate students. Research planning and programming includes direct participation from Affiliated Researchers and graduate students. Research Activities are advised by a Research Committee that is chaired by the Director. This Committee, comprised of a subset of Affiliated Researchers, sets research priorities, and facilitates research collaborations.</p> <p><b>Advisory:</b> An Advisory Council with representation from key stakeholder groups will be established to give SSI broad strategic advice and provide vital community engagement.</p> <p><i>Please see appended organizational charts (12-13).</i></p>  |
| 6. | <p><b><u>Provide a statement of the role and qualifications of the centre/institute lead of the proposed centre or institute.</u></b></p> <p>Dr. Ingraham is Professor of Musicology in the Department of Music and is the founding and current Director of the Sound Studies Initiative at the University of Alberta. She is an interdisciplinary researcher whose interests emanate from within the fields of cultural studies, human geography, musicology, and intersensory studies of sound, listening, and the materiality of musical experience. Her research archives are both historical and contemporary, critical and pedagogical, and align with the Sound Studies mission of listening to community needs in order to develop creative and collaborative research projects inspired by reciprocity, integrity, collaboration, and diversity.</p> <p>Dr. Ingraham’s primary academic interest is in the socio-political context of music and she focuses on issues relating to cultural identity and intercultural encounters. The theoretical grounding of her research supports an understanding of the lived experiences of individuals, the reception and aesthetic concepts of space and place in the context of music-making, and the relationships of society, politics, history, and music to constructions of identity, nationhood, and belonging. Recent SSHRC-funded projects include “Resounding Culture: Recontextualizing resources for histories of music in Canada” (Insight Grant, 2016-2019), “Connecting Culture to Childhood” (Partnership Development Grant, 2016-2019), and “The Social Efficacy of Art Music Partnerships in Canada” (Partnership Development Grant, 2013-2016).</p> <p>Dr. Ingraham’s published work includes the catalogue of Canadian operas since 1867, <i>Something to Sing About</i>, and the entry on “Canada” in the <i>Oxford Bibliographies in Music</i>; the co-edited collection <i>Opera in a Multicultural World: Coloniality, Culture, Performance</i> (Routledge); and chapters in <i>China and the West</i> (University of Michigan) and <i>Opera Indigene</i> (Ashgate). Her articles on Canadian opera</p> |

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|    | <p>and approaches to postsecondary music pedagogies may be found in <i>Teaching Canada – Enseigner le Canada, Communications in Computer and Information Science, International Journal for Cross-Disciplinary Subjects in Education, Nineteenth-Century Music Review, and Ars LYRICA</i>. Dr. Ingraham has produced three web-based educational projects for the Canadian Music Centre (<i>sound adventure, sound progression, Influences of Many Musics</i>).</p> <p>Work currently under review and in progress includes the co-edited collection <i>Intensities: Towards non-exceptionalist perspectives on Music in Canada</i> (Wilfrid Laurier UP), and a textbook on music in Canada, co-edited by David Gramit (Oxford UP).</p> <p>She serves as President of the Pacific Northwest Chapter of the American Musicological Society, is co-founder and coordinator of the independent research group, Interdisciplinary Perspectives on Music in Canada Research Group (with Dylan Robinson), and was President of the Canadian University Music Society from 2014-2016. She is currently an advisor for the Wilfrid Laurier UP <i>Music and Musical Life in Canada</i> series, and the Society for American Music's Dissertation Research Fellowship Committee. Dr. Ingraham has been a jury member for fellowships and awards with SSHRC, the SOCAN Foundation, the Canadian Conference for the Arts, and the Sir Ernest MacMillan Memorial Foundation.</p>  |
| 7. | <p><b><u>Employees</u></b></p> <ol style="list-style-type: none"> <li>a. The Administrative Assistant is a University of Alberta employee and currently funded by the Faculty of Arts</li> <li>b. The Postdoctoral Fellow is funded by an existing Research fund through to 2020.</li> <li>c. The Director is funded by the Music Department (50%) and the Faculty of Arts (50% = 2HCE Course release)</li> <li>d. A future, part-time position of Media Lab Technician will be required based on research focus, and will report to the Director. This position will require new funding.</li> </ol>  |
| 8. | <p><b><u>Financial Plan</u></b></p> <p>SSI has committed funding until June 2020, with input from the following sources: \$80,000 per year from the Faculty of Arts <i>plus</i> \$31,000 per year available from an established Research Fund that expires in 2020. <b>Total current annual budget: \$111,000</b></p> <p>The Faculty of Arts funding will continue to support administrative and operating costs (i.e., provision for a part-time Administrative Assistant for programming including communications, honoraria, and travel for visiting artists and for Director-related needs). Research funding is being utilised for a half-time Postdoctoral Fellow in support of Affiliated Researchers, programming, and Institute special initiatives.</p> <p>Developing the current positions from half- to full-time, and the need for a half-time media technician will require additional funds. We expect to be able to support these through new ongoing grants (including input from Affiliated Researchers projects) and fundraising, and are including provisions for them in our current activities in these areas. In our budgeting for this increased activity and support, we estimate the following transitions by 2021, but a key element of SSI programming will be elasticity that will enable the Institute to organize activities based on available funding in a given fiscal period.</p> <p>Operating (currently \$80,000) increase to \$200,000<br/> Research/Postdoc and Visiting Scholars (currently \$31,000) increase to \$60,000</p> |

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|     | <p><b>Total forecasted annual budget: \$260,000</b></p> <p><i>Please see appended 5-year budget (14).</i></p>  |
| 9.  | <p><b><u>Space Requirements.</u></b></p> <p>Space required? No</p> <p>If “No” selected, where is current space?</p> <p>3-47 Arts and Convocation Hall, with archive space in ARC Resource Library (1-31 Arts and Convocation Hall).</p> <p>In addition to housing the three administrative offices of the Institute, the SSI space includes a small meeting room, multi-media presentation and reception area, and a media lab. These are actively utilized for SSI programming, by Affiliated Researchers, graduate assistants and other faculty and students. These are offered as in-kind spaces for research and presentation projects connected to the SSI.</p>   |
| 10. | <p><b><u>Potential Risks to the University of Alberta</u></b></p> <p>There may be reputational risks to the University of Alberta if SSI fails to appropriately steward the Moses and Frances Asch collection of Folkways Records. This will be mitigated by oversight and guidance from the Advisory Council, the Administrative Board and the Director’s personal engagement in communication with the Asch family.</p> <p>There may be financial risk if operational and program spending exceeds the funding available. This will be mitigated by appropriate training of staff to follow UAPPOL protocols and the regular engagement of mentorship and guidance of the Senior Officers of the Faculty of Arts when necessary.</p> |
| 11. | <p><b><u>Annual Reporting and Strategic Review: In accordance with UAPPOL Policy</u></b></p> <p>In accordance with UAPPOL Policy there will be annual reporting to the Dean of Arts. These reports will be forwarded to the Office of the Provost. The Dean of Arts will provision for a strategic and operational review at no less frequency than every five years.</p>  |
| 12. | <p><b><u>Intellectual Property (IP) and Copyright</u></b></p> <p>Copyright, ownership and commercialization of IP will be created in accordance with UAPPOL policy and best practices.</p>   |
| 13. | <p><b><u>Termination Plan/Provisions.</u></b></p> <p>If it becomes necessary, termination of SSI will be done on the recommendation of the Dean of Arts in accordance with UAPPOL policy.</p>  |
| 14. | <p><b><u>Letters of Support:</u></b></p> <p><b>U of A</b></p> <ul style="list-style-type: none"> <li>• Lesley Cormack, Dean, Faculty of Arts</li> <li>• Pierre-Yves Mocuais, Dean, Faculté Saint-Jean</li> </ul>   |

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|     | <ul style="list-style-type: none"> <li>• Jonathan Schaeffer, Dean, Faculty of Science</li> <li>• Jennifer Tupper, Dean, Faculty of Education</li> <li>• John E. Misiaszek, Associate Dean (Research), Faculty of Rehabilitation Medicine</li> <li>• Kathleen DeLong, Vice-Provost &amp; Chief Librarian</li> <li>• Bill Street, Chair, Department of Music</li> </ul> <p><b>External</b></p> <ul style="list-style-type: none"> <li>• Bev Diamond, Professor Emerita, Memorial University</li> <li>• Terry Wickham, Producer, Edmonton Folk Music Festival</li> <li>• Salome Voegelin, Reader in Sound Arts, London College of Communication, University of the Arts London</li> <li>• Bert Crowfoot, CEO, Aboriginal Multi-Media Society of Alberta</li> </ul> <p><i>Please see appended letters of support.</i></p> |
| 15. | <p>Provide, if applicable, any <b><u>agreements and/or memoranda of understanding between the University of Alberta and its partner(s)</u></b> to establish, fund and operate the proposed academic centre or institute.</p> <p><b>Current Memoranda of Understanding:</b></p> <ol style="list-style-type: none"> <li>1. Cultures of Sound Network <i>with</i> the Canadian Museum of History, Memorial University of Newfoundland, and the Smithsonian Center for Folklife and Cultural Heritage</li> <li>2. <i>with</i> the Aboriginal Multi-Media Society of Alberta</li> </ol> <p><i>Please see appended MoUs with the Cultures of Sound Network and the Aboriginal Multi-Media Society of Alberta.</i></p>   |

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### Sound Studies : Founding Affiliated Researchers

| First Name | Last Name         | Title               | Department   | Faculty                 |
|------------|-------------------|---------------------|--|-------------------------|
| Daniel     | Aalto             | Assistant Professor | Communication Science and Disorders                          | Rehabilitation Medicine |
| Erin       | Bayne             | Professor           | Biological Sciences  | Science                 |
| Carol      | Bolek             | Professor           | Communication Science and Disorders                          | Rehabilitation Medicine |
| Vadim      | Burliko           | Associate Professor | Computing Science  | Science                 |
| Corjan     | Burna             | Laboratory Manager  | Mechanical Engineering                                       | Engineering             |
| Juha       | Byl               | Assistant Professor | Music  | Arts                    |
| Melanie    | Camptel           | Associate Professor | Communication Science and Disorders                          | Rehabilitation Medicine |
| Jason      | Carry             | Associate Professor | Mechanical Engineering                                       | Engineering             |
| Colleen    | Cassady St. Clair | Professor           | Biological Sciences  | Science                 |
| Ashrid     | Ensslin           | Professor           | Modern Languages and Cultural Studies & Humanities Computing | Arts                    |
| Laurier    | Faynan            | Associate Professor | Musique  | Faculté Saint-Jean      |
| Michael    | Fristkampi        | Professor           | Music  | Arts                    |
| Bill       | Hauptfels         | Associate Professor | Communication Science and Disorders                          | Rehabilitation Medicine |
| Mary       | Ingraham          | Professor           | Music  | Arts                    |
| Torrey     | Lauriks           | Associate Professor | Communication Science and Disorders                          | Rehabilitation Medicine |
| Sean       | Luyk              | Librarian           | Digital Initiatives, Libraries                               | Education               |
| Elena      | Nicodanis         | Professor           | Psychology   | Science                 |
| Michael    | ODriscoll         | Associate Professor | English and Film Studies                                     | Arts                    |
| Mariève    | Oliver            | Assistant Professor | Art and Design   | Arts                    |
| Scott      | Smithwood         | Associate Professor | Music  | Arts                    |
| Christyler | Sturdy            | Professor           | Psychology   | Science                 |
| Berjamin   | Tucker            | Associate Professor | Linguistics  | Arts                    |

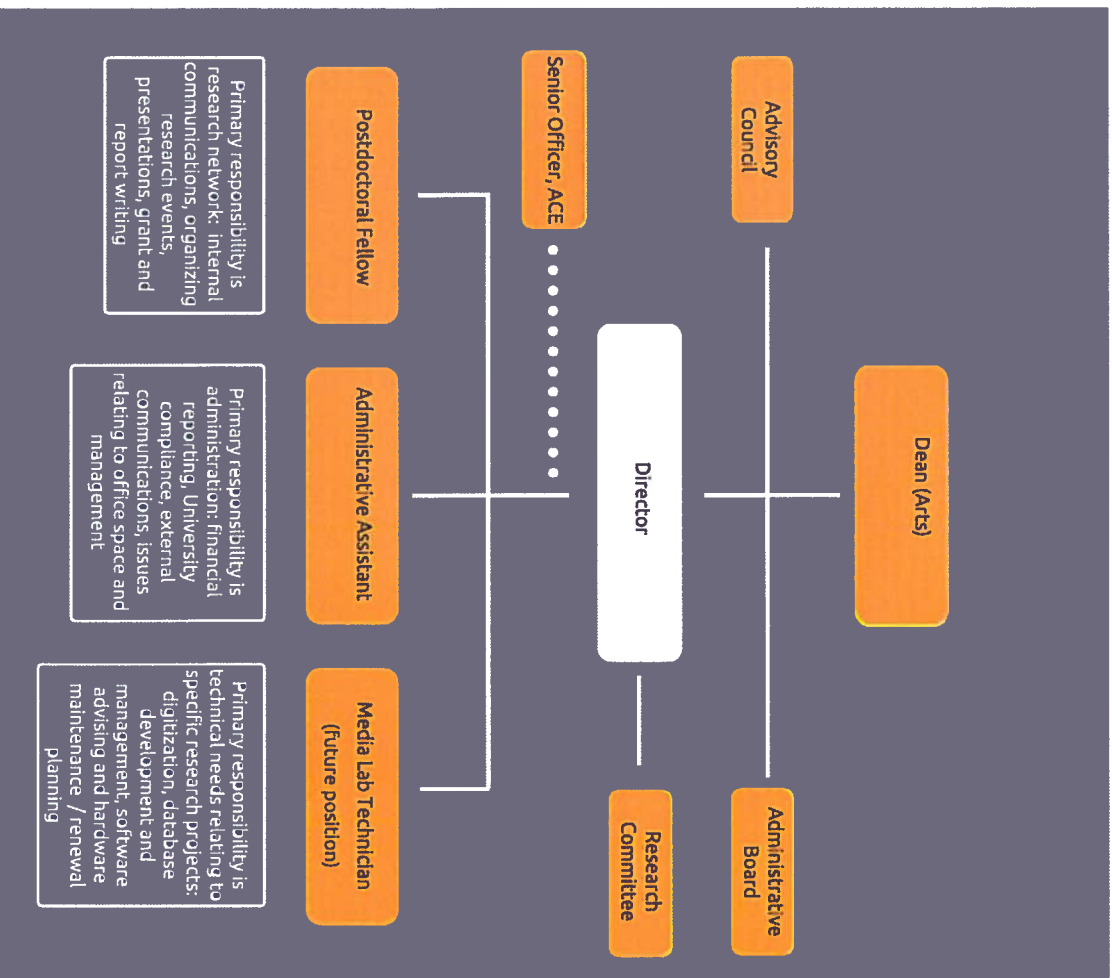
### Sound Studies: Associated Units and Labs

| Unit Name                                       | Affiliated Researcher | Position                     |
|---|-----------------------|------------------------------|
| Alberta Phonetics Laboratory                    | Benjamin Tucker       | Director                     |
| Artificial General Intelligence Lab             | Verim Butko           | Director                     |
| Bel Canto Vocal Acoustics Lab                   | Laurier Faugan        | Director                     |
| Bioacoustic Unit                                | Erin Bayne            | Director                     |
| Canadian Centre for Ethnomusicology             | Michael Friskopf      | Director                     |
| Digital Initiatives, Libraries                  | Sean Luyk             | Program Manager              |
| Electro Acoustic Research Studio                | Scott Snelwood        | Co-Director                  |
| Institute for Stuttering Treatment and Research | Torrey Loucks         | Research Chair in Stuttering |
| Mechanical Engineering Acoustics and Noise Unit | Corjan Burma          | Laboratory Manager           |
| Songbird Neuroethology Laboratory               | Christopher Sturdy    | Director                     |
| Arts Resource Centre                            | Karnal Ramameera      | Team Lead                    |

# Sound Studies Institute

## Collaborative Research and Administrative Hub

The Director receives guidance and advice from three governance committees: the Administrative Board advises on issues of University policy, approves annual and strategic plans for the Institute; the Advisory Council gives broad strategic advice and provides vital community engagement; the Research Committee, comprised of Affiliated Researchers, sets long-term research priorities and facilitates research collaborations. The Director supervises any research assistants hired under Sound Studies-managed research projects.

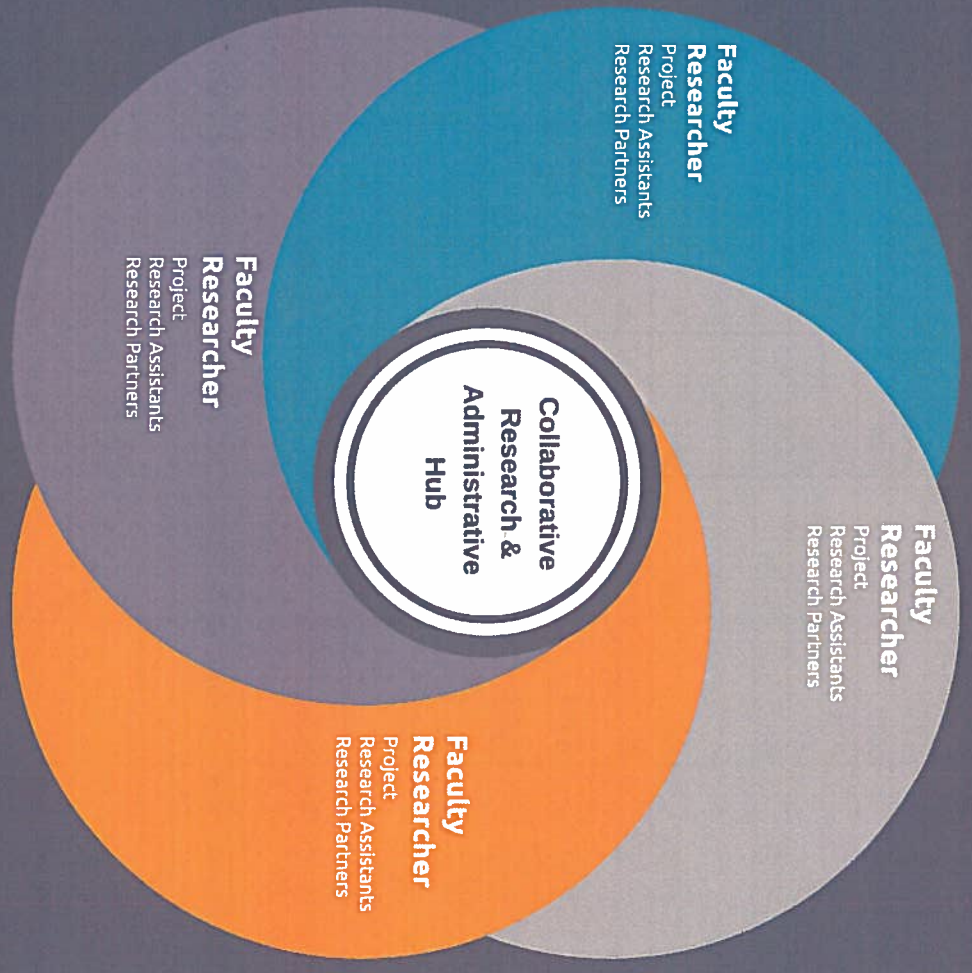




# Sound Studies Institute Research Structure

## Reciprocity and Sustainability

Each Affiliated Researcher in our network receives project-specific support from SSI in terms of in-kind support such as lab space and equipment use; and sourcing partners, research assistance, and collaborative feedback / dissemination opportunities. In turn they share resources (knowledge, leadership in activities, financial portions of grants as applicable and appropriate) with SSI. Where appropriate and feasible, SSI also fosters research/ community partnerships.





| University of Alberta Five-year Base Budget Projections to June 2022 |                                   | Funds 210, 380, Annual Flex, External Grants |           |           |           |           |
|--|-----------------------------------|--|-----------|-----------|-----------|-----------|
| Organization: AR Sound Studies (150170)                              |                                   | 2017-2018                                    | 2018-2019 | 2019-2020 | 2020-2021 | 2021-2022 |
| <b>REVENUE</b>   |                                   |  |           |           |           |           |
| FUND 210 (Base, Arts)  |                                   | 80,000                                       | 80,000    | 80,000    |           |           |
| ANNUAL FLEX (Arts)   |                                   | 32,270                                       | 26,970    | 15,170    | 3,370     | 18,570    |
| RESEARCH 380* (VP)   | <i>must be spent by June 2020</i> | 31,000                                       | 31,000    | 31,000    |           |           |
| EXTERNAL GRANTS  | <i>pending</i>                    |  |           |           | 250,000   | 250,000   |
| <b>Total Revenues</b>  |                                   | 143,270                                      | 137,970   | 126,170   | 253,370   | 288,570   |
| <b>EXPENSE</b>   |                                   |  |           |           |           |           |
| <b>Salaries</b>  |                                   |  |           |           |           |           |
| n/a  | Course Release                    | 0  | 8,500     | 8,500     | 17,000    | 17,000    |
| 500051   | Honoraria                         | 4,800  | 5,000     | 5,000     | 10,000    | 15,000    |
| 500330   | Temporary Support Staff           | 40,000                                       | 40,000    | 40,000    | 65,000    | 65,000    |
| 500048   | Post Doc                          | 30,000                                       | 30,000    | 30,000    | 45,000    | 46,000    |
|  | Media Technician                  |  |           |           | 40,000    | 40,000    |
| <b>Total FTE/Salaries</b>  |                                   | 74,800                                       | 83,500    | 83,500    | 177,000   | 183,000   |
| Benefits   | est. 10% of 500330                | 7,000  | 7,000     | 7,000     | 15,000    | 15,100    |
| <b>Total Benefits</b>  |                                   | 7,000  | 7,000     | 7,000     | 15,000    | 15,100    |
| <b>Nonsalary</b>   |                                   |  |           |           |           |           |
| 502000   | Supplies Services & Sundries      | 11,500                                       | 11,500    | 11,500    | 15,000    | 15,000    |
| 503000   | Communication                     | 800  | 800       | 800       | 800       | 800       |
| 503200   | Travel                            | 20,200                                       | 18,000    | 18,000    | 25,000    | 25,000    |
| 504000   | Rentals & Leases                  | 2,000  | 2,000     | 2,000     | 2,000     | 2,000     |
| <b>Total Nonsalary</b>   |                                   | 34,500                                       | 32,300    | 32,300    | 42,800    | 42,800    |
| <b>Total Expenses</b>  |                                   | 116,300                                      | 122,800   | 122,800   | 234,800   | 240,900   |
| <b>NET ANNUAL rev/exp</b>  |                                   | 26,570                                       | 15,170    | 3,370     | 18,570    | 27,670    |

April 10, 2018

Steve Dew  
Provost & Vice-President (Academic)  
2-40 South Academic Building  
University of Alberta  
Edmonton, AB, T6G 2G7

Dear Steve,


I am pleased to inform you that Arts Faculty Council has formally approved a motion supporting the establishment of the Sound Studies Institute as a multi-Faculty Institute reporting to the Dean of Arts. This genuinely transdisciplinary Institute will bring together researchers connected to music and sound technology with those whose work examines historical, cultural, environmental, medical, and other dimensions of sound research. I am excited by the potential for the Institute to build networks of faculty members, students, and community members working in sound, foster original research collaborations, and support methodological innovations and advances in knowledge across disciplines. The Sound Studies Institute is sure to make important contributions to research that enhances UAlberta's national and international reputation.

During the development of this proposal, Dr. Mary Ingraham has worked closely with researchers from a range of Faculties and administrative staff in the Faculty of Arts to ensure the Sound Studies Institute will be launched with necessary administrative supports, physical space, appropriate governance structure, and a solid financial plan already in place. As Dean I have committed \$80,000 per year to supplement competitive research funding during the early years of the Institute, but believe Dr. Ingraham's proposal for a flexible, activity-based funding model will allow the institute to thrive in the longer term.

Building on its roots as *folkwaysAlive!*, the Sound Studies Institute will steward the Moses and Frances Asch collection of Folkways Records, but its broader mission is to support intellectual spaces for sound researchers to collaborate and flourish. Recognizing the potential benefits to be realized by researchers from multiple disciplines, the proposal has been supported by at least four Faculties and UAlberta Libraries, as well as a number of academic and non-academic external partners.

Given the careful planning and building already undertaken, I believe the proposal to establish the Sound Studies Institute is ready to be assessed by you and your office and then forwarded to the Academic Planning Committee for final approval.

Sincerely,

  
Lesley Carmack  
Dean

Dr. Steve Patten  
Associate Dean (Research)  
Faculty of Arts  
University of Alberta

*Pierre-Yves Macquais, PhD, OPA*  
Doyen, Professeur / Dean, Professor

8406 rue Marie-Anne-Gaboury (91 St)  
Edmonton, Alberta, Canada T6C 4G9  
Tel. 780.465.8705  
Fax 780.465.8760  
mocquais@ualberta.ca

February 5<sup>th</sup>, 2018

Dear Dr. Patten,

Faculté Saint-Jean is pleased to write this letter in strong support of the *Sound Studies Initiative* to acquire institutional status at the University of Alberta. Faculté Saint-Jean notes with great interest the stated purpose of the *Sound Studies Initiative*, "Fostering communities through collaborative research in sound" and that "The Sound Studies Initiative offers sound researchers the opportunity to work collaboratively, to discover new areas of convergent enquiry, to benefit from collective administrative support for their research and teaching, and provides a philosophical and physical locus for collaboration and innovation across disciplines."

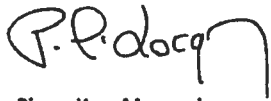
As you are well aware, Campus Saint-Jean houses a unique Canadian research facility, that of the *Bel Canto Vocal Acoustics Laboratory*. Funded by the Canada Foundation for Innovation (CFI), this laboratory and its director, Dr. Laurier Fagnan, have been able to do groundbreaking research in the area of vocal acoustics. We believe this facility has enormous potential. This assessment, however, comes with a caveat: that Dr. Fagnan is first and foremost a *musician* specializing in vocal technique and pedagogy in both solo and choral singing. Although possessing a sound (pun intended!) knowledge of acoustics, his musical/vocal training leaves him with some shortcomings (his assessment!) when it comes to the scientific and experimental side of the research he could conduct, as well as the technical side of the analysis of recorded data from experiments. It is in these areas that additional support and collaboration proposed by SSI could help to make our facility all that it was meant to be. FSJ considers in turn that Dr. Fagnan and the *Bel Canto Vocal Acoustics Laboratory* would have much to contribute to the further development of the *Sound Studies Initiative*. In addition, collaboration between the *Bel Canto Vocal Acoustics Laboratory* and the *Sound Studies Initiative* could signify increased collaboration between Faculté Saint-Jean and the Faculty of Arts.

As an affiliated researcher with SSI, Dr. Fagnan has already forged relationships in certain departments and faculties such as Linguistics and Engineering that have helped him to bridge his knowledge gap and lead to very insightful and innovative collaborative research with other SSI researchers. It is my understanding that one of goals of SSI is to hire an acoustic technician who could assist several departments in the technical aspect of their research (for instance, recording and analysis techniques). Being able to lean on such a resource could greatly increase both the quantity and quality of research that the *Bel Canto Vocal Acoustics Laboratory* could undertake and, in return, contribute further to the development of the *Sound Studies Initiative*.

Discussions between SSI Director, Dr. Mary Ingraham, and the BCVAL Director, Dr. Laurier Fagnan, have raised the possibility of connections being made with the Faculty of Rehabilitation Medicine (with which FSJ already has a long-standing partnership in the delivery of a *Certificate in Francophone Speech-Language Pathology*) in a project to improve the vocal production of School Teachers who tend to abuse, and often lose, their voices due to overuse in the classroom environment. A large part of what is required for this study falls within Dr. Fagnan's specialty, but we believe that being able to collaborate more readily with other faculties and clinical experts would make the research far more comprehensive and meaningful. The assistance being provided could also be beneficial in the attraction of post-graduate researchers and/or researchers in residence.

In conclusion, Faculté Saint-Jean believes the acquisition by SSI of institutional status would be an asset to the University of Alberta as it would allow for enhanced collaboration on acoustics across several faculties. Faculté Saint-Jean considers in particular that it could have a substantial positive impact on the level of research to be undertaken by FSJ's *Bel Canto Vocal Acoustics Laboratory*. Faculté Saint-Jean fully support their application for institutional status at the University of Alberta.

Sincerely,



Pierre-Yves Mocquais

c.c. Dr. Martine Pellerin, Associate Dean (Research and Innovation), Faculté Saint-Jean  
Dr. Laurier Fagnan, Director, *Bel Canto Vocal Acoustics Laboratory*, Faculté Saint-Jean

845 Education Centre South  
Edmonton, Alberta, Canada T6G 2G5  
Tel: 780.492.3751  
Fax: 780.492.0238  
[www.education.ualberta.ca](http://www.education.ualberta.ca)

January 24, 2018

Dr. Leslie Cormack  
Dean Faculty of Arts  
6-33 Humanities Centre  
University of Alberta

Dear Dean Cormack,

Thank you very much for approaching the Faculty of Education regarding the proposed new Sound Studies Institute. We appreciate having been provided with a full copy of the application for our review. Upon review, we recognize the deep legacy of interdisciplinary expertise cultivated by the lengthy relationship that the Faculty of Arts has had with Smithsonian Folkways Recordings. The Faculty of Education supports continuing this tradition of interdisciplinary excellence with development of the Sound Studies Institute. We are convinced that the Sound Studies Institute will make valuable research contributions, enhancing UAlberta's national and international reputation in the field of sound studies. To this end, we are proud to have Dr. Patricia Boechler, a senior SSHRC supported researcher in the Faculty of Education, serving on the board of the Sound Studies Initiative Admin Board.

Sincerely,



Dr. Jennifer Tupper, Ph.D.  
Dean, Faculty of Education

**Faculty of Science**  
Office of the Dean  
6-189 Centennial Centre for Interdisciplinary Science (CCIS)  
Edmonton, Alberta, Canada T6G 2E1

Tel: 780.492.4757  
Fax: 780.492.9434  
dean.science@ualberta.ca  
www.science.ualberta.ca

Date: January 29, 2018

To: Lesley Cormack, Dean  
Faculty of Arts

From: Jonathan Schaeffer, Dean  
Faculty of Science

Re: **Sound Studies Institute**

---

The Faculty of Science is delighted to lend its strong support for the establishment of the Sound Studies Institute. The Institute will continue the excellent work begun over a decade ago with the Folkways initiative.


I have read the proposal and see numerous places where the Institute already is having an impact in the Faculty of Science. Some examples include:

- Department of Psychology researchers are investigating sound and its relationship to cognition, perception, and neuroscience in human and nonhuman animals.
- Department of Computing Science researchers helped found the Deep Learning for Sound Research (DLSR) project (KIAS funded). Graduate student research includes applying artificial intelligence technology to classifying birdcalls, inferring ethnomusicology data, and detecting accents in video game audio.
- Department of Biological Sciences researchers are engaged in several interesting projects including:  
a) studying noise pollution and sound masking caused by vehicles on roads and railways, b) the use of acoustic deterrents for birds at industrial sites, and c) determining how birds may adjust the frequency of their songs to overcome traffic noise and acoustic warnings humans may provide to prevent train strikes on bears.

These projects rely on conceptual and technical expertise that is being gathered and organized via the Sound Studies Institute. In addition, the Institute will unite like-minded researchers across campus in a formal manner, providing important synergy and sharing of information, knowledge, and resources.

In summary, the Sound Studies Institute is already having impact in the Faculty of Science. Creating a formal entity will help raise the profile of this research effort to the benefit of all.

Sincerely,



Jonathan Schaeffer  
JS/rb





23 January 2018

Dr. Lesley Cormack  
Dean, Faculty of Arts  
6-33 Humanities Centre  
University of Alberta  
Edmonton, AB T6G 2E5

Dear Dr. Cormack,

The Faculty of Rehabilitation Medicine is pleased to provide support for the formal establishment of the Sound Studies Institute. I have been provided a copy of the application and am excited to back this innovative approach to sound studies.

The Sound Studies Institute, being spearheaded by Dr. Ingraham, builds from the history of the folkwaysAlive! Institute and the stewardship of the Moses and Frances Asch Collection of Folkways Records. As such, the Sound Studies Institute is building from a platform of established excellence. The unique characteristics of the Sound Studies Institute will set the University of Alberta apart from other sound studies programs in Canada by offering a truly transdisciplinary approach to the study of sound exploring historical, cultural, medical, environmental, technological and other aspects of sound and sound application.

The Faculty of Rehabilitation Medicine is home to the Department of Communication Sciences & Disorders, which hosts the professional entry to practice program in Speech-Language Pathology. In addition, a proposal to start an entry to practice program in Audiology is currently before government. The link between our Faculty and sound studies is inherent and strong. It is, therefore, compelling for the Faculty of Rehabilitation Medicine to support this initiative and support the academic interests of the many members of our staff who are identified as affiliated researchers in sounds studies, including Drs. Daniel Aalto, Carol Boliek, Melanie Campbell, William (Bill) Hodgetts, and Torrey Loucks. In addition, such an innovative and leading institute at the University of Alberta will be attractive to top scholars with interests in sound studies and facilitate the recruitment of additional leading academics to our Faculty in the future.

I look forward to our future partnership in this exciting new initiative.

Sincerely,

John E. Misiaszek  
Professor & Associate Dean, Research







February 2, 2018

Dr. Lesley Cormack  
Dean, Faculty of Arts  
6-33 Humanities Centre  
University of Alberta  
Edmonton, AB, T6G 2E5

Dear Dr. Cormack,

On behalf of the University of Alberta Libraries, I am pleased to offer our support for the proposal to create a Sound Studies Institute (SSI) at the University of Alberta. We have a long-established relationship with the SSI and its predecessor—folkwaysAlive!, and are excited to maintain this relationship in the future.

The SSI will provide an important space for researchers and students across a wide range of disciplines to share ideas and forge new collaborations in sound studies teaching and research. The SSI will foster innovative scholarship, and this aligns well with our mission to inspire exploration, connection, and discovery.

The vision expressed in the SSI application is complementary to areas of strategic importance for the University of Alberta Libraries, which include ensuring long-term access and preservation of digital and print materials, and being a partner in the research enterprise supporting areas such as data management, digital scholarship, and impactful dissemination of research outputs.

The University of Alberta Libraries have an interest in supporting the interdisciplinary research that the SSI brings together, and have invested resources to support research and stewardship involving audio materials. This includes the digitization and preservation of at risk analog sound recordings as evidenced by our partnership on the KIAS CRAFT Digital Archive Research Grants program, and with digital materials, the operation of a streaming media repository (ERA A+V) which provides access to digital audio materials for the purposes of teaching and research. We see growing interest and demand for services in these areas, and can easily envision partnering with the Sound Studies Institute in many different ways.

On behalf of Learning Services and the Libraries, I wish the Sound Studies team success as they embark on this important endeavour.

Sincerely,

Dr. Kathleen De Long  
Vice-Provost & Chief Librarian  
Learning Services - Chief Librarian Office

3-B2 Fine Arts Building  
Edmonton, Alberta, Canada T6C 2C9  
Tel: 780.492.0601  
Fax: 780.492.9246  
music@ualberta.ca

February 8, 2018

Dr. Lesley Cormack  
Dean, Faculty of Arts  
6-33 Humanities Centre  
University of Alberta  
Edmonton, AB, T6G 2E5

Dear Dean Cormack,

As Chair of the Department of Music, I write this letter in full support of the formal establishment of the **Sound Studies Institute** as an academic institute under the UAPPOL Centres and Institutes Policy. The transition from *folkwaysAlive!* to the Sound Studies Institute has been a long and arduous one for director Mary Ingraham, but this challenge (and the resulting changes) has led the way for a bold venture which will benefit the artistic, cultural, scientific and technical needs of "the study of sound in its many facets" across campus disciplines.

The Department of Music works hand in hand with director Mary Ingraham in supporting the formal establishment of this institute. We plan to program ongoing joint activities, including research and cultural events which will benefit disciplines wider than, but inclusive of, music. These research and cultural activities will bring into focus uAlberta's national and international contributions to the field of sound studies, and will be a forum to highlight our ventures and research. Various members of the Department of Music will collaborate with the Institute, including the areas of ethnomusicology, performance, composition and media studies. We support the establishment wholeheartedly and welcome any questions or clarifications needed.

Yours sincerely,



William H Street  
Professor and Chair  
Department of Music, Faculty of Arts



Research Centre for Music, Media and Place (MMaP)

Re: Application of the Sound Studies Institute for permanent Institute status

Dear Colleagues,

I am happy to write in support of Dr. Mary Ingraham's application for recognition of the Sound Studies Institute as a permanent Centre or Institute at the University of Alberta. Her team has built on the important initiative of *folkwaysAlive!* that emerged through the the University of Alberta's custodianship of the Moses Asch collection. The earlier incarnation of the Institute already produced significant CDs for Canadian studies and an exciting visual exhibition that the Smithsonian Institute proudly exhibited on their Smithsonian Folkways website. The Institute has expanded its work, under the capable leadership of Dr. Ingraham, to become transdisciplinary, increasingly collaborative, and to address a variety of archival and urgent research issues. It has offered support to local musicians through performance opportunities, and, among its research initiatives, it has addressed ecological matters, and and modelled ethical collaborative practice with Indigenous and Settler communities. Several initiatives such as the "Including Culture and Childhood Project" are doing significant work on intergenerational transmission, processes that were disrupted in so many parts of the world by colonialism. The Sound Studies Institute is a participant in an ongoing collaboration with national museums in Canada and the United States and with other universities including Memorial University with whom I remain affiliated. Researchers associated with the Sound Studies Institute have been highly successful in grant competitions and extremely productive.

The Sound Studies Institute is important as an institution that complements the graduate program in Ethnomusicology which is one of Canada's leading programs in this field. Active engagement in actual research projects is, of course, essential experience for graduate students.

In sum, the Sound Studies Institute has national and international importance at a moment where many are speaking of a "sonic turn" in social scientific scholarship. I strongly urge support for Dr. Ingraham's application.

Sincerely,

A handwritten signature in black ink that reads "Beverley Diamond".

Beverley Diamond (CM, FRSC, Trudeau Fellow),  
Professor Emerita,

Past-President, Society for Ethnomusicology,  
Visiting Distinguished Lecturer, McGill University (2018)



Dr. Lesley Cormack  
Dean, Faculty of Arts  
6-33 Humanities Centre  
University of Alberta  
Edmonton, AB T6G 2E5

January 23<sup>rd</sup>, 2018

Dear Dean Cormack,

I am delighted to offer my personal support and the support of The Edmonton Folk Music Festival for the establishment of the University of Alberta's Sound Studies Institute.


There will likely be many benefits realized within the University of Alberta and within the University family, my focus is on the benefits that can be realized within the Edmonton music Community.

Alberta in general, and Edmonton in particular, have an enviable reputation as music loving hotspots. The continuing success of CKUA, an earlier University of Alberta initiative, is proof enough. Add in the proliferation of classical, folk, jazz, indie and rock festivals and you have a vibrant music scene.

In my reading of the goals of the Institute, I am struck by how similar these goals are to the vision of the Folk Festival. To honour and explore the sounds of our time, to foster community and break through artificial boundaries and to look for reciprocity from this community in order to achieve sustainability, well, that also describes the approach of our Folk Festival.

I will continue to use the Folkways collection, the hiring of Leonard Cohen as a "writer in residence" by the University of Alberta as drawing cards to entice some of the best folk musicians in the world to Edmonton. I can also mention that "Sisters of Mercy" was written in Edmonton, due to the foresight of earlier administrators at your University.

Thank you for your continued interest in music.

 (Tanya Corbin Communications on behalf of:)

Terry Wickham ( Producer: Edmonton Folk Music Festival )

PO. BOX 4130 EDMONTON ALBERTA CANADA T6F 4T2 PH: (780) 429-1899 FX: (780) 424-1132

**ual** london college  
of communication



Dr. Lesley Cormack  
Dean, Faculty of Arts  
6-33 Humanities Centre  
University of Alberta  
Edmonton, AB, T6G 2E5

Dr. Salomé Voegelin  
Reader in Sound Arts  
London College of Communication  
University of the Arts  
Elephant and Castle  
London  
SE1 6SB

London 28.01.18

Dear Dean Cormack,

I am a Reader in Sound Arts at the London College of Communication, University of the Arts, London, a founding member of CRiSAP (Centre for Research in Sound Arts Practice) and the PI for the AHRC (Arts and Humanities Research Council) funded network project Listening across Disciplines. It is in the context of this project that I have learnt about the Sound Studies initiative at the University of Alberta and have had the pleasure of many professional exchanges on the possibility, import and crossdisciplinary potential of sound studies with Prof. Ingraham.

Sound and Listening, as a methodology and concern across the disciplines is at the core of my work, and I am convinced by the benefit of sonic competencies to address current research questions in all fields of knowledge production. I am therefore very excited and wish to express my enthusiastic support for the formal establishment of the Sound Studies Institute at the University of Alberta.

My support for the SSI is based on two main principles that I see as the core strengths and potential of sound studies, and which I see strongly reflected in this proposal for a Sound Studies Institute: The first is the emphasis on collaboration which is intrinsic to working with

sound. Sound and listening, in dealing with the invisible and indivisible dimension of the world, focus on the in-between and thus challenge the boundaries of disciplinary erudition and promote new ways that scholarship in a diversity of fields could work together. I understand that the SSI's facilities and research support will facilitate valuable new opportunities for innovative research collaborations across disciplines by providing an interdisciplinary hub and a broad interpretation for researchers and graduate students to work together. The second principle is the notion of curiosity or what I see as working beyond expected processes and outcomes into possibility and maybe even impossibility. I believe sound can play an important part in driving all fields of research beyond their current habits and conventions of practice and thus to exciting new thinking, processes and insights. SSI sets a very workable framework to harvest this potential by building a physical and conceptual research environment in which sustainable relationships can be built as the foundation for innovative and sustainable interdisciplinary research. This is an exciting and potentially groundbreaking endeavour

From my position as the PI of Listening across Disciplines, as a member of CRISAP, as well as in relation to my general involvement in the study of listening as a cross disciplinary methodology, I am very excited to visit Alberta University in February and to be able to contribute my ideas and experiences to the project and hope that we can formalize the relationship between our institutions for future collaborative research and projects.

I want to thank you for sharing the SSI application with me. I am very intrigued and excited by its aims and objectives as well as its approach and hope that its foundation will provide opportunities for our institutions to collaborate and share in a common goal: the recognition and development of listening and sound as important and cross disciplinary research tools.

I wish the Sound Studies team success as they take this important initiative to the next stage. Please do not hesitate to contact me should you need further information.

Yours Sincerely



Dr. S. Voegelin



**A M M S A**  
The Aboriginal Multi-Media Society  
13245 - 146 Street  
Edmonton • Alberta • T5L 4S8  
Toll Free: 1-800-661-5469  
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Canada's National Aboriginal News Source



Dr. Lesley Cormack  
Dean, Faculty of Arts  
6-33 Humanities Centre  
University of Alberta  
Edmonton, AB, T6G 2E5

Dear Dean Cormack,

I am pleased to offer this letter as my support for the establishment of University of Alberta's Sound Studies Institute.

The Sound Studies Institute (SSI) will provide an important interdisciplinary hub for researchers and graduate students working with sound.

The SSI facilities and research supports will facilitate valuable new opportunities for innovative research collaborations.

I feel that it is crucial to the Indigenous community that the archives of the Aboriginal Multi Media Society of Alberta (AMMSA) dating back to 1966 be preserved and digitized for the future generations of our people.

Our language, songs and words of our Wisdom Keepers who have gone on their journeys, are important to our future generations. Not only to read, but to hear and see the images of our past, to keep our future alive.

The Faculty of Arts has considerable expertise in areas of research that intersect with sound studies. Several faculty in the Faculty of Arts are already on board as 'affiliated researchers.' We have worked together to begin this digital process and it's important we take the next step in preserving our heritage.

I want to thank you for sharing the SSI application with me and wish the Sound Studies team success as they take this important initiative to the next stage.

In the Spirit of Aboriginal Communications,

Bert Crowfoot  
CEO and General Manager  
Aboriginal Multi Media Society





**Memorandum of Understanding between**

**The Governors of the University of Alberta, on behalf of the Faculty of Arts  
and**

**Memorial University of Newfoundland  
and**

**The Canadian Museum of History  
and**

**The Smithsonian Center for Folklife and Cultural Heritage**

**For the Creation of the Cultures of Sound Network**

**1. Definitions:**

"Participants" refers to UAlberta, Memorial University of Newfoundland, Canadian Museum of History, and the Smithsonian Center for Folklife and Cultural Heritage.

"UAlberta" refers to the Governors of the University of Alberta, as represented by its Faculty of Arts, a University continued pursuant to the terms of the province of Alberta's *Post-Secondary Learning Act*.

"MUN" refers to Memorial University of Newfoundland, a University continued pursuant to the terms of the province of Newfoundland's *Post-Secondary Learning Act*.

"The Museum" refers to the Canadian Museum of History, an established corporation under section 7 of the Museum Act, S.C. 1990, c.3.

"SI" refers to the Smithsonian Institution, an educational, non-profit organization established by the Congress of the United States in 1846 (20 U.S.C. 41 et seq.), acting through its Center for Folklife and Cultural Heritage (CFCH).

"CSN" refers to the Cultures of Sound Network being the collaboration between the Participants as detailed in this MOU.

"MOU" refers to this Memorandum of Understanding between the Participants.

## **2. Mandates of the Participants:**

### UAlberta:

The UAlberta mission is to create and sustain a vibrant and supportive learning environment that discovers, disseminates, and applies new knowledge through teaching and learning, research and creative activity, community involvement and partnerships. UAlberta gives a national and international voice to innovation in the Province of Alberta, taking a lead role in placing Canada at the global forefront.

### MUN:

MUN is an inclusive community dedicated to innovation and excellence in teaching and learning, research, scholarship, creative activity, service and public engagement. MUN welcomes and supports students and scholars from all over the world and contributes knowledge and expertise locally, nationally and internationally.

### The Museum:

The purpose of the Museum is to enhance Canadians' knowledge, understanding and appreciation of events, experiences, people and objects that reflect and have shaped Canada's history and identity and also to enhance their awareness of world history and cultures. The Museum aims at being inclusive and to represent various aspects of Canadian History.

SI: The SI's mission is the increase and diffusion of knowledge. CFCH is dedicated to promoting greater understanding and sustainability of cultural heritage across the United States and around the world through research, education, and community engagement.

## **3. Context of this MOU:**

The Participants have agreed to enter into this MOU that enables them to work together in the pursuit of the objectives set out herein and to establish a collaboration to be known as the "Cultures of Sound Network" (CSN).

The intent of this MoU is to propose a new collaboration that includes UAlberta, MUN, the Museum, SI, and other partners as opportunities for collaboration arise.

The goal of the CSN will be to develop a mutual understanding among cultural communities through the creation, preservation, and dissemination of knowledge about their musical and cultural identities. In the conduct of teaching, research, and outreach, the CSN will seek to bring together researchers, educators, creators, performers, producers, and the public to promote areas of common interest in the promotion of the diversity and strength of musical cultures, in their many forms and locations, and to develop this collaboration in pursuit of those goals.

Considering that:

- The Participants have in their respective mandates the preservation and the dissemination of cultural heritage;
- The Participants each possess a structure of governance and approval system of their own;

- By creating a collaboration that includes UAlberta, MUN, the Museum, and the SI, the CSN will build on the considerable strengths and resources of all four institutions while encouraging and facilitating collaboration between individuals and communities across Canada and between leading cultural institutions in Canada and the United States.

#### **4. Purpose and scope:**

The Participants agree to work together within the framework of the CSN in order to further their mutual goal of making musical and cultural identities better known to their respective audiences. This work will fall into the areas of research, content creation and dissemination, and education. In so doing, the Participants will adhere to core values of ethical conduct and service to cultural communities.

The activities developed within the CSN include collaborative projects designed to enable dialogue among various audiences and opportunities to disseminate musical and cultural heritage to these audiences (for example, audio digitization and restoration, internships, the exchange of resources and expertise, etc.). As such, projects and opportunities are contingent on the availability of resources and written agreement of the Participants involved. Collaborative activities involving the CSN are expected to be discussed at the onset and agreed upon in writing by the Participants involved and any new or external partners.

The Participants will develop contractual agreements for specific projects and exchanges in expertise or professional affairs initiated through the CSN.

The specific parameters and responsibilities for each project resulting from this MOU will be defined and agreed upon by the Participants involved at the onset of each collaborative project, and approved by those parties through a separate written agreement. These agreements will define and outline the roles, responsibilities, collaborations, and obligations (including, but not limited to, any financial obligations), scope of work and deliverables for each of the Participants and the use of the CSN designation.

#### **5. Resources and Preservation Requirements:**

Financial obligations, human resources arrangements, insurance, preservation and other requirements of Participants that are deemed necessary must be discussed and communicated in writing at the outset of any project or sub-arrangements made pursuant to this MOU and must be detailed in the written agreement related to the project.

Each Participant shall bear its own costs and expenses arising from this MOU unless otherwise mutually arranged and agreed to in writing.

**6. Accountability:**

The Participants are each responsible for the conduct of their own employees and for the project work conducted by their employees resulting from this MOU. This MOU does not preclude any activities that the Participants would normally undertake in fulfillment of their institutional mandates. Each Participant retains control and oversight over the resources they make available to the CSN, including intellectual property, subject to further agreement between the Participants involved.

Participants will agree upon the appropriate way to acknowledge the collaboration on publications or in presentations prior to the start of any CSN-supported activity.

**7. Term:**

This MOU shall come into effect upon the date on which the last Participant endorses the MOU, and shall continue in effect for a period of three (3) years from that date unless otherwise terminated. Any of the Participants may withdraw its participation in this MOU for any reason not less than ninety (90) days after providing written notice to the other Participants, provided, however, that withdrawal from any separate agreement related to a specific project shall be subject to the terms of that separate agreement.

**8. Monitoring:**

Representatives of the Participants will meet, at a minimum annually, either by teleconference or in person to review and assess the operation and effectiveness of the CSN and to discuss any opportunities that might be feasible under this MOU. Meetings will be scheduled in January of each year by mutual agreement of time, place, and means.

**9. Amendment:**

This MOU can only be modified or extended if all of the Participants agree in writing.

**10. Access to Information and Privacy Legislation**

The Participants acknowledge that:

- A. UAlberta, MUN, and the Museum are public bodies subject to Federal and/or Provincial *Freedom of Information and Protection of Privacy laws* ("FOIPP") as amended. Information considered confidential under section 11 below may be subject to FOIPP and therefore may be required to be released despite its confidential nature.
- B. The Smithsonian Institution has adopted a written policy for responding to requests for Smithsonian Institution information, including paper documents, electronic data, email, contracts, and other information embodied in a Smithsonian record, as outlined in Smithsonian Directive 807 – Requests for Smithsonian Institution Information, available at <https://www.si.edu/ogc/records-requests>.

**11. Confidentiality:**

Each party acknowledges that it may come into possession of confidential information of the other party. Confidential information means information relating to the business and affairs of a Participant, including intellectual property, and the personal information of any personnel, student or contractor of the Participants. Accordingly, each party agrees that it will only use such confidential information for the purposes contemplated in this MOU and that it will not, without the prior, written consent of the other party, disclose to any third party such confidential information, unless required by law or, for SI, by the United States Congress or Smithsonian Directive 807. For the purposes of this MOU, "confidential information" shall not include information that is or becomes part of the public domain through no act of the receiving party, that was in the receiving party's possession before receipt from the disclosing party, that was rightfully received by the receiving party from a third party without a duty of confidentiality, or information that is required to be disclosed under any applicable law or by order of a court.

**12. Counterparts:**

The Participants agree that this MOU may be signed in any number of counterparts, each of which is an original, and all of which taken together constitute one single document. The MOU may be signed by PDF or other electronic means and such signatures will be valid counterparts.

**13. Notices:**

All notices to be given pursuant to this MOU shall be sent in writing to the following individuals, duly authorized to act on behalf of their institutions:

for UAlberta:  
Mary Ingraham  
3-47 Arts Building  
University of Alberta  
Edmonton, AB

(t) 780-492-3753  
(e) soundstudies@ualberta.ca

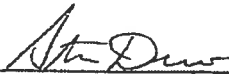
for MUN:  
Harris M. Berger  
MMaP Research Centre  
School of Music  
Memorial University of Newfoundland  
St. John's, NL A1C 5S7  
(t) 709-864-3701  
(e) harris.berger@mun.ca

for the Museum:  
Nicolas Gauvin  
Director, Business Partnerships and  
Information Management  
100 Laurier Street  
Gatineau, QC K1A 0M8  
(t) 819-776-8407  
(e) nicolas.gauvin@museedelhistoire.ca

for SI:  
Michael Atwood Mason  
Director, Center for Folklife and  
Cultural Heritage  
P.O. Box 37012, MRC 520  
Washington D.C. 20013-7012  
(t) 202-633-1141  
(e) masonm@si.edu

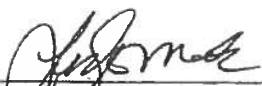
Notice shall be deemed to be received on the date of delivery if delivered by hand or transmitted by electronic means. Each Participant may change its address for notice by notifying the other Participants in writing.

In witness whereof, the Participants have signed in five (5) copies, as follows:

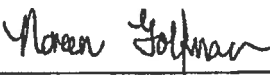
  
\_\_\_\_\_  
For and on behalf of the Governors of  
The University of Alberta  
Dr. Steven Dew  
Provost and Vice President (Academic)  
University of Alberta

Date: Oct. 24, 2017

and

  
\_\_\_\_\_  
Dr. Lesley Cormack  
Dean, Faculty of Arts  
University of Alberta

Date: 27 Sept, 2017

  
\_\_\_\_\_  
For Memorial University of Newfoundland  
Dr. Noreen Golfman  
Provost and Vice-President (Academic)  
Memorial University of Newfoundland  
St. John's NL  
A1C 5S7 CANADA

Date: 23 January 2018



For the Canadian Museum of History  
Dr. Dean F. Oliver  
Director, Research  
Canadian Museum of History  
100 Laurier Street  
Gatineau, Quebec  
K1A 0M8 CANADA

Date: 25 Sept 17



For the Smithsonian Center for Folklife  
and Cultural Heritage  
Dr. Michael Mason  
Director, CFCH  
800 Maryland Avenue SW  
Suite 2001  
Washington DC 20024-2620  
USA

Date: 26 Sept 2017

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**Memorandum of Understanding**

between

**THE GOVERNORS OF THE UNIVERSITY OF ALBERTA**  
on behalf of the Faculty of Arts,  
(“UAlberta”)

and

**THE ABORIGINAL MULTI-MEDIA SOCIETY OF ALBERTA**  
(the “AMMSA”)

Collectively referred to as the “Parties”.

**WHEREAS** UAlberta is a University continued pursuant to the terms of the *Post-Secondary Learning Act*;

**WHEREAS** the AMMSA is an Aboriginal communications society incorporated in 1983 under the *Alberta Societies Act* dedicated to serving the needs of Aboriginal people throughout Canada;

**WHEREAS** UAlberta and the AMMSA desire to enter into a collaborative relationship whereby there may be an exchange of ideas, people, and/or resources between them and both Parties foresee a mutual benefit arising from such collaboration as well as a benefit flowing from this collaboration directly towards the communities they serve;

**WHEREAS** the Parties 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** UAlberta and the AMMSA have agreed to enter into this memorandum of understanding (the “MoU”) that enables them to work together in the pursuit of the objectives set out herein;

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

A handwritten signature in black ink, appearing to be a stylized 'M' or similar initials.

1 of 4



**1. NATURE OF THE MoU:**

- 1.1 This MoU establishes the framework by which the Parties will work together in an effort to foster and develop a collaborative relationship between them through the activities listed below in a manner that is consistent with the mandates, policies, priorities, and resources of the Parties and which is in accordance with the *Post-Secondary Learning Act* and the *Alberta Societies Act*.
- 1.2 Except for the provisions herein dealing with privacy and confidentiality, this MoU does not create any legally binding obligations on the part of the Parties but contemplates further legally binding agreement(s).
- 1.3 Specific terms of collaborative activities shall be agreed to by the Parties in a further legally binding agreement ("Agreement") which shall be made pursuant to this MoU in the form of an Appendix for the limited purpose of the particular activity addressed in that Agreement. If an Agreement is expected to include collaborative research, issues such as confidential information, intellectual property, and publication rights shall be addressed in that Agreement.

**2. OBJECTIVES:**

The general intent of this MoU is to establish a framework through which the Parties to this MoU can foster and develop a relationship between them through such activities that lead to the preservation and dissemination of cultural materials currently held in the AMMSA archives that include (but are not limited to) a vast and varied collection of spoken word, music, and other forms of cultural expression, and that exist in multiple formats and physical condition warranting immediate attention.

Personnel and activities relating to this intent may include:

- a. faculty and/or staff;
- b. UAlberta graduate and/or undergraduate students;
- c. individual and community partners;
- d. creation and storage of digital archives and any corresponding metadata;
- e. research activities and publications;
- f. participation in educational and scholarly activities;
- g. exchange of materials and other information; *and*
- h. other short- and long-term projects as identified by the Parties.

**3. COSTS AND EXPENSES**

All programming decisions made by the Parties shall conform to this MoU and be approved by the Dean of the Faculty of Arts, UAlberta or designate, and the CEO of the AMMSA, or designate.

**4. COLLABORATIVE PROJECTS**

Each party shall bear its own costs and expenses arising from this MoU unless otherwise mutually arranged and agreed to.

**5. TERM**

5.1 This MoU shall come into force and effect from the date on which the document has been endorsed by both Parties, or from the date on which the last party endorses the MoU, and shall continue in effect for a period of five (5) years from that date or until terminated by mutual agreement or pursuant to section 5.2.

5.2 Either party may terminate this MoU on six (6) months written notice to the other party.

5.3 This MoU may be amended or extended by the mutual written consent of the Parties.

**6. EMPLOYEES**

To the extent employees of the Parties are utilized to complete the projects contemplated in this MoU, each of the Parties is responsible for the cost of its own employees (including wages, salaries, benefits and Workers' Compensation coverage).

**7. NOTICES**

All notices to be given pursuant to this MoU shall be sent in writing to the following individuals:

|                          |                         |
|--------------------------|-------------------------|
| for UAlberta:            | for the AMMSA:          |
| Dean, Faculty of Arts    | Bert Crowfoot           |
| 6-5 Humanities Centre    | CEO, AMMSA              |
| University of Alberta    | 13245 - 146 Street NW   |
| Edmonton, AB             | Edmonton, AB            |
| (t) 780.492.4223         | (t) 780.455.2700        |
| (e) artsdean@ualberta.ca | (e) bcrowfoot@ammsa.com |

Notice shall be deemed to be received on the date of delivery if delivered by hand or transmitted by electronic means.

**8. ACCESS TO INFORMATION AND PRIVACY LEGISLATION**

The Parties acknowledge that UAlberta is a public body subject to the *Freedom of Information and Protection of Privacy Act (Alberta)* ("FOIP"), as amended. Information considered confidential under section 8 below, may be subject to FOIP and therefore, may be required to be released despite its confidential nature. For further information about FOIP, see <http://www.ipo.ualberta.ca>.

**9. CONFIDENTIALITY**

Each party acknowledges that it may come into possession of confidential information of the other party. Accordingly, each party agrees that it will only use such confidential information for the purposes contemplated in this MoU and that it will not, without the prior, written consent of the other party, disclose to any third party such confidential information, unless required by law. For the purposes of this MoU, "confidential information" shall not include information that is or becomes part of the public domain through no act of the receiving party, that was in the receiving party's possession before receipt from the disclosing party, that was rightfully received by the receiving party

from a third party without a duty of confidentiality, or information that is required to be disclosed under any applicable law or by order of a court.

**10. COUNTERPARTS**


The parties agree that this agreement may be signed in any number of counterparts, each of which is an original, and all of which taken together constitute one single document.

In WITNESS WHEREOF the Parties have caused this MoU to be executed on the dates indicated below.


For and on behalf of the Governors of the  
University of Alberta:

For and on behalf of the AMMSA:

  
\_\_\_\_\_  
Dr. Steven Dew, (Date)  
Provost and Vice President (Academic)

  
\_\_\_\_\_  
Bert Crowfoot, (Date)  
CEO

and

  
\_\_\_\_\_  
Dr. Lesley Cormack, (Date)  
Dean, Faculty of Arts

APPENDIX TO THE MEMORANDUM OF UNDERSTANDING  
FOR THE DIGITIZING THE ANCESTORS PROJECT (the "DTAP")

between

THE GOVERNORS OF THE UNIVERSITY OF ALBERTA  
on behalf of the Faculty of Arts,  
("UAlberta")

and

THE ABORIGINAL MULTI-MEDIA SOCIETY OF ALBERTA  
(the "AMMSA")

Collectively referred to as the "Parties".

WHEREAS:

- A. The Parties to this appendix (the "Agreement") have entered into a memorandum of understanding dated Oct 5/16, 2016 (the "MoU");
- B. The Parties agree to formalize the terms for such an Agreement under which it is possible for an exchange of ideas, people, and resources on a continuing basis for the purpose of preserving and disseminating cultural materials currently held in the AMMSA archives (the "Archives").

NOW THEREFORE in consideration of the above and other good and valuable consideration, the Parties agree as follows:

1 GENERAL

- 1.1 By way of this Agreement, the Parties agree to establish the Digitizing The Ancestors Project ("DTAP").
- 1.2 The AMMSA agrees to grant UAlberta access to materials selected from the Archives for the purposes and objectives set out in this Agreement.
- 1.3 The goal of DTAP is to digitize multimedia archival materials located at the Archives (the "DTAP Materials") for preservation and dissemination. In the process of this work, DTAP will bring together archivists, academic researchers, cultural leaders, and other individuals and community members to promote the diversity and strength of aboriginal culture as contained in the Archives and to foster and develop a collaborative partnership between the Parties in pursuit of this goal.
- 1.4 Considering that folkwaysAlive at UAlberta and the AMMSA have in their respective mandates the preservation and the dissemination of cultural heritage and that both Parties possess governance structures and approval systems of their



own, by creating this Agreement, DTAP will build on the considerable strengths and resources of both organisations while encouraging and facilitating collaboration between their communities.

## **2 AREAS INVOLVED**

- 2.1 The primary participating academic areas at UAlberta will be the Faculty of Arts and its Departments, folkwaysAlive, the Faculty of Education through the School of Library and Information Studies, and UAlberta Digital Initiatives Department.
- 2.2 Ongoing DTAP activities, including the selection of which DTAP materials are to be digitized will be determined by mutual consent of the Director of folkwaysAlive at UAlberta and the CEO of the AMMSA and in consultation with their communities, as required.

## **3 FINANCIAL SUPPORT AND OBLIGATIONS**

- 3.1 The Parties agree to support DTAP by providing appropriate human and financial resources, as mutually agreed upon, and in consideration of the changing needs of project activities. Shared costs will be considered and mutually agreed upon prior to beginning each project arising from this Agreement.
- 3.2 UAlberta will provide the digitizing equipment as well as individuals to operate the digitizing equipment to achieve the goals established in this Agreement. The digitization will take place at UAlberta main campus, unless otherwise agreed to by the Parties.
- 3.3 AMMSA will provide UAlberta access to the agreed upon DTAP Materials. AMMSA will also provide personnel to assist with the digitization.

## **4 COMING INTO FORCE, TERMINATION, AND AMENDMENTS**

- 4.1 This Agreement shall come into force and effect from the date on which the document has been endorsed by both Parties, or from the date on which the last party endorses the Agreement, and shall continue in effect for a period of three (3) years from that date or until terminated by mutual agreement or pursuant to section 4.2.
- 4.2 Either party may terminate this Agreement on six (6) months written notice to the other party.
- 4.3 This Agreement may be extended or amended by mutual written agreement.

## **5 INTELLECTUAL PROPERTY AND USE**

- 5.1 The digitizing process will involve the making of two copies. One copy will be retained by UAlberta and one copy will be retained at the Archives.
- 5.2 AMMSA represents that it has the necessary authority to provide the DTAP Materials to UAlberta for the purposes specified in this Agreement. In the event that a claim for costs or damages is made against UAlberta as a result of digitizing

the DTAP Materials, AMMSA agrees to indemnify and hold harmless UAlberta for such claims or costs.

- 5.3 To the extent that the DTAP Materials may be involved in the creation of intellectual property or be used for future research purposes, the intended author of the intellectual property or the researcher will be required to obtain the necessary consents in writing from AMMSA and other, applicable individuals (e.g. copyright holders).
- 5.4 Prior to the use of the DTAP Materials for teaching or educational purposes, the Parties must mutually agree in writing on the parameters of such use.

## 6 ACCESS TO INFORMATION AND PRIVACY LEGISLATION

- 6.1 The Parties acknowledge that UAlberta is a public body subject to the *Freedom of Information and Protection of Privacy Act (Alberta)* ("FOIP"), as amended. Information considered confidential under section 8 below may be subject to FOIP and therefore, may be required to be released despite its confidential nature. For further information about FOIP, see <http://www.ipu.ualberta.ca>.

## 7 CONFIDENTIALITY

- 7.1 Each party acknowledges that it may come into possession of confidential information of the other party. Accordingly, each party agrees that it will only use such confidential information for the purposes contemplated in this Agreement and that it will not, without the prior, written consent of the other party, disclose to any third party such confidential information, unless required by law. For the purposes of this Agreement, "confidential information" shall not include information that is or becomes part of the public domain through no act of the receiving party, that was in the receiving party's possession before receipt from the disclosing party, that was rightfully received by the receiving party from a third party without a duty of confidentiality, or information that is required to be disclosed under any applicable law or by order of a court.

## 8 LIABILITY AND INDEMNIFICATION

- 8.1 Each party shall be liable to the other party for, and indemnify and hold harmless the other party from and against any and all claims, damages, costs, claims, suits, or actions (whether in relation to third parties or direct liabilities, damages or costs, including solicitor/client fees) resulting from any injury to persons, damage to property, or claims occasioned by or as a result of the negligent acts, wilful misconduct, or breach of obligations assumed under this contract by students, researchers, employees, officers, agents, and contractors.
- 8.2 Each party acknowledges and accepts that there is a risk that the DTAP Materials may be misplaced or damaged as a result of transportation, digitization or in the normal handling of the DTAP Materials. One party will not seek damages against

the other unless the act causing the damage or loss is the result of negligence or wilful misconduct on behalf of the other party.

**9 SURVIVAL**

9.1 All provisions relating to the nature of the relationship, indemnity, insurance, payment, confidentiality, and other obligations and provisions, the performance of which by their nature extends beyond the termination of this Agreement, shall continue in full force and effect following the effective date of such termination.

**10 COUNTERPARTS**


The parties agree that this agreement may be signed in any number of counterparts, each of which is an original, and all of which taken together constitute one single document.

In WITNESS WHEREOF, the Parties have caused this Agreement to be executed on the dates indicated below:


For and on behalf of the Governors of the University of Alberta:

For and on behalf of the AMMSA

  
\_\_\_\_\_  
Dr. Steven Dew, (Date)  
Provost and Vice President (Academic)

  
\_\_\_\_\_  
Bert Crowfoot, (Date)  
CEO

and

  
\_\_\_\_\_  
Dr. Lesley Cormack, (Date)  
Dean, Faculty of Arts

## **TERMS OF REFERENCE FOR SOUND STUDIES (SSI) ADMINISTRATIVE BOARD**

*(Dated for reference April 2018)*

### **Purpose**

To provide the direction necessary for the success of SSI in its mission to engage in and promote research and community engagement.

### **Constitution (9 members: 6 voting; 3 non-voting)**

- Dean of Arts, or designate (Chair) *ex officio*;
- [Chair, SSI Advisory Council, *ex officio*];
- One Chair of a Faculty of Arts department;\*
- Two faculty members from Faculty of Arts departments;\*
- One faculty member from a non-Faculty of Arts department; \*
- SSI Director, *ex officio* (non-voting); *and*
- Senior Officer, Arts Collaboration Enterprise (ACE), *ex officio* (non-voting).

\*Appointments for up to three years, renewable, are made by the Dean of Arts.

### **Meeting Frequency**

- Administrative Board is to meet at least once annually.

### **Functions**

- To approve for submission to the Dean, SSI's annual budget and annual programming and research reports.
- To provide strategic advice and guidance to the SSI Director on research programming activities.
- To provide regular review in order to ensure the SSI's ongoing contribution to the mission of the Faculty of Arts and the University.
- To advance the SSI mandate through effective advocacy, intra- and extramurally, as opportunities present themselves.

### **Meeting Secretariat**

SSI and ACE will provide administrative support to the Administrative Board.

SSI will hold the official records of the Administrative Board's deliberations. The records of the Administrative Board will be subject to provincial FOIPP legislation.

### **SSI: Purpose ~ Mission ~ Values**

**Purpose:** Fostering communities through collaborative research in sound

**Mission:** Leading with listening, we create a supportive space where curiosity can transcend disciplinary boundaries.

**Values:** Reciprocity ~ Integrity ~ Collaboration ~ Diversity



## TERMS OF REFERENCE FOR SOUND STUDIES (SSI) ADVISORY COUNCIL

(Dated for reference, September 2018)

### Purpose

The Advisory Council will:

1. Provide the Director with strategic advice on community engagement, research, and advancement opportunities for SSI;
2. Advance the SSI purpose and mission through effective advocacy, intra- and extramurally as opportunities present themselves; **and**
3. Receive an annual report of SSI's activities, challenges, and successes.

### Constitution (up to 10 members: 5-7 voting; 3 non-voting)

- Dean of Arts or designate (Chair) *ex officio*;
- Director, SSI *ex officio*;
- Senior Officer, Arts Collaboration Enterprise (ACE) *ex officio*;
- A representative council of 5-7 nationally and internationally recognized academic and community members reflecting the interdisciplinary nature of SSI. Appointments for up to three years, renewable will be made by the Dean of Arts on the recommendation of the Director.

### Meetings & Consultations

Meetings will normally occur once per annum. Reports will be provided to the Advisory Council at least annually, and the Council may be consulted between meetings.

### Meeting Secretariat

SSI will provide administrative support to the Advisory Council and hold the official records of the Advisory Council's deliberations. The records of the Advisory Council will be subject to provincial FOIPP legislation.

### SSI: Purpose ~ Mission ~ Values

**Purpose:** Fostering communities through collaborative research in sound

**Mission:** Leading with listening, we create a supportive space where curiosity can transcend disciplinary boundaries.

**Values:** Reciprocity ~ Integrity ~ Collaboration ~ Diversity

---

## **TERMS OF REFERENCE FOR SOUND STUDIES (SSI) RESEARCH COMMITTEE**

*(Dated for reference March 2018)*

### **Purpose**

To assist the Director with advancing SSI's objective of providing scholars and students interested in sound studies research opportunities to engage collaboratively across disciplines, to discover new areas of convergent enquiry, and to benefit from collective administrative support for their research and teaching.

**Constitution (5 members)** (Appointment for up to three years, renewable, made by the Dean of Arts on the recommendation of the Director and SSI's Administrative Board.)

- Director (Chair) *ex officio*; and
- Four academics whose research engages with Sound Studies.

### **Meeting Frequency**

The SSI Research Committee will normally meet twice per term as the business of SSI requires.

### **Functions**

- To generate, discuss and assess ideas and recommendations that are submitted to the Director from faculty members on research themes and topics to be examined by the research and intellectual exchange sponsored by SSI
- To help adjudicate SSI grants, prizes, and Fellowship applications
- To advise the Director on the design and implementation of grant and prize programs
- To help the Director with the promotion of SSI's lectures and activities
- To advance the SSI mandate through effective advocacy, intra- and extramurally, as opportunities present themselves

### **Meeting Secretariat**

SSI, in collaboration with the Arts Collaboration Enterprise (ACE), will provide administrative support to the Research Committee.

SSI will hold the official records of the Research Committee's deliberations. The records of the Research Committee will be subject to provincial FOIPP legislation.

**Governance Executive Summary  
Action Item**

Agenda Title: **Proposal from Faculty of Science to Change the Name of the Urban and Regional Planning Program to the School of Urban and Regional Planning**

**Motion:** THAT the GFC Academic Planning Committee approve, under delegated authority from General Faculties Council, the proposed name change of the Urban and Regional Planning Program in the Department of Earth and Atmospheric Sciences in the Faculty of Science to the School of Urban and Regional Planning within the Department of Earth and Atmospheric Sciences, to take effect upon final approval.

**Item**

|                  |   |
|------------------|---|
| Action Requested | <input checked="" type="checkbox"/> Approval <input type="checkbox"/> Recommendation  |
| Proposed by      | Dr. Frank Marsiglio, Interim Dean, Faculty of Science   |
| Presenter(s)     | Dr. Frank Marsiglio, Interim Dean, Faculty of Science<br>Dr. Stephen Johnston, Chair, Earth and Atmospheric Sciences<br>Dr. Sandeep Agrawal, Professor and Director, Associate Chair, Urban and Regional Planning Program, Earth and Atmospheric Sciences |

**Details**

|   |   |
|---|---|
| Responsibility  | Provost & Vice-President (Academic)   |
| The Purpose of the Proposal is<br><i>(please be specific)</i>                       | To approve the renaming of the existing Planning Program to the School of Urban and Regional Planning within the Department of Earth and Atmospheric Sciences.  |
| Executive Summary<br><i>(outline the specific item– and remember your audience)</i> | <p>This proposal rebrands the Planning Program to the School of Urban and Regional Planning within the Department of Earth and Atmospheric Sciences in the Faculty of Science.</p> <p>The proposed School will encompass the currently existing four academic degree programs within the department that are commonly collectively referred to as the ‘Planning Program’. The Planning Program includes two undergraduate programs, the BA Major and BSc Specialization, a Master’s program (MSc Planning) and a Ph.D. with a specialization in Planning. The Program currently has close to 80 undergraduate, 35 MSc and 6 Ph.D. students. One postdoctoral fellow joined the Program on September 1<sup>st</sup> 2018.</p> <p>The proposal is simply to change the name of the existing Planning Program to the School of Urban and Regional Planning. It does not purport to create a new academic unit, neither does it change what appears on students’ parchment. Furthermore, the renaming will not change the degree credential or any other elements of the undergraduate or graduate programs in Planning.</p> <p>The Planning Program is one of the only two programs in Canada (the other is U of Waterloo) that offer BA/BSc, MSc and Ph.D. degrees. The members of the Program are very active in the local community and in maintaining a strong relationship with the industry including the City of Edmonton and other municipalities across the province. We have actively built up an endowment (with Brookfield Residential being a</p> |

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major contributor to date), which is being used for students' scholarships and to hold an annual distinguished speaker event. Industry partners, such as Stantec and Beaverbrook also support several students' awards and scholarships.

Since its inception in 2012, the Program has been headed by a Director and an Associate Director (since 2016) and is supported by 6.5 full-time faculty members, over ten sessional lecturers and a part-time Program Administrator. The Director has been recently appointed as an Associate Chair in the Department. The Program's Advisory Committee provides guidance and insight concerning the program including curriculum development, strategic direction, accreditation, the relevance of course material, fundraising and assistance in the development of co-operative education partnerships. It consists of many industry partners and representatives of the U of Alberta. The members are: Jodie Wacko, VP, Beaverbrook Development; Peter Ohm, Chief Planner, City of Edmonton; Michael Walters, Councillor Ward 10; Roger Epp, Director of UAlberta North; Gary Klassen, General Manager, City of Edmonton; Naomi Krogman, Professor and Associate Dean, FGSR, U of Alberta; Simon O'Byrne, VP, Stantec; and Bruce Duncan, Fellow of CIP; former General Manager of the City of Edmonton and two ex-officios.

The Program currently suffers regarding its identity in a Department whose name does not reflect the presence of the Planning Program. Moreover, the Program is subject to intensive accreditation review based on the standards set by the Canadian Institute of Planners and the Alberta Professional Planners Institute, the national and provincially-based regulatory bodies of the planning profession respectively. The review is conducted by a team of planning practitioners and academics every five years.

In a recent accreditation review, the site visit team questioned the limited visibility of the Program within the Department. It recommended the renaming along with a separate designation for the Planning courses so that it can distinguish itself from other academic units within the Department including Human Geography. This is important because there has been confusion expressed at times as to whether the Planning Program at the U of A is part of the Human Geography program or whether it is a 'legitimate' planning program.

Out of 16 Planning programs across the country, the vast majority are identified as a "School", department of planning or department that encompasses the name "Planning". By creating a School, we would: be in line with other planning academic institutions across the country; be compliant with the accreditation recommendations; create name recognition; develop an independent identity; and eliminate any confusion about the legitimacy of the degree programs for the potential undergraduate and graduate students and the external planning community.

This change will not add any additional cost to the University. It may,

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|                                 |   |
|---------------------------------|---|
|                                 | <p>however, require funds for branding and marketing purposes.</p> <p>This change is cosmetic in nature. It does not lead to any day-to-day changes to the faculty, staff, or students. To further the process of clarifying identity, the existing "PLAN" designator that is currently being used for the MSc Planning degree program will also be used for the undergraduate program. This effort will be advanced with forthcoming calendar changes. This was also a requirement from the accreditation review.</p> <p>The Planning Program appears in a few places in the University Calendar. We would like to replace it with "School of Urban and Regional Planning". Other changes are described in the attached proposed calendar change.</p> <p>We would like the name change of the existing Planning Program to be approved soon so that it can be launched in early 2019 just before the upcoming accreditation of the graduate program. As stated before, with a separate application, we will also proceed with changes to the designation of Planning courses so that they are entered into the 2019-20 calendar.</p> |
| Supplementary Notes and context |   |

**Engagement and Routing** (Include meeting dates)

|  |  |
|--|--|
| <p>Consultation and Stakeholder Participation<br/>(parties who have seen the proposal and in what capacity)</p> <p>&lt;For information on the protocol see the <a href="#">Governance Toolkit section Student Participation Protocol</a>&gt;</p> | <p><u><i>Those who are actively participating:</i></u></p> <hr/> <p><u><i>Those who have been consulted:</i></u><br/>         Dr. Jonathan Schaeffer, former Dean, Faculty of Science<br/>         Dr. Frank Marsiglio, Interim Dean, Faculty of Science<br/>         Dr. Stephen Johnston, Chair, EAS<br/>         Dr. Sandeep Agrawal, Professor and Director, Urban and Regional Planning Programs, EAS<br/>         Dr. Robert Summers, Faculty Service Officer and Associate Director, Urban and Regional Planning Programs, EAS<br/>         The Planning Program Advisory Committee<br/>         The Office of the Provost and Vice-President (Academic)<br/>         Dr. Deborah Burshtyn, Vice-Provost and Dean, FGSR<br/>         Dr. Lesley Cormack, Dean, Faculty of Arts<br/>         Geography and Planning Students Society</p> |
| Approval Route (Governance)<br>(including meeting dates)   | <p>Faculty of Science Chairs Council (approved on Sept 6<sup>th</sup>, 2018)<br/>         Science Faculty Council (approved on Sept 26<sup>th</sup> 2018)<br/>         GFC Academic Planning Committee (Oct 10<sup>th</sup>, 2018)</p>   |

**Strategic Alignment**

|   |  |
|---|--|
| Alignment with <i>For the Public Good</i> | <p>This proposal supports the Institutional Strategic Plan objective(s)/strategies to attract top students and faculty to the Planning Program. It also conforms with the university's objective to communicate and collaborate with internal and external stakeholders, especially,</p> |
|---|--|

Item No. 11

|   |   |
|---|---|
|   | community organizations, industry, and governments. Another advantage of the proposal is that it will help the unit and the University at large enhance, increase, and sustain community relations, community engagement, and community-engaged research and scholarship.   |
| Alignment with Institutional Risk Indicator | <p>Risk: Relationships with Stakeholders<br/>If the university does not establish and maintain constructive relationships with its key stakeholders, it could fail to achieve its academic mission and goals.</p> <p>Risk: Reputation<br/>Risk Statement: If the university does not protect and enhance its reputation, it could fail to achieve its academic mission and goals.</p> <p>Risk: Leadership and Change<br/>Risk Statement: Without competent and engaged leaders and the ability to manage change, the university will fail to meet its mission and vision.</p> |
| Legislative Compliance and jurisdiction     | <p>Post-Secondary Learning Act<br/>GFC Academic Planning Committee terms of reference</p>   |

Attachments:

1. Draft School Governance
2. Planning Program brochure
3. Letters of Support
4. Calendar Changes

*Prepared by:* Dr. Jonathan Schaeffer, former Dean [jonathan@ualberta.ca](mailto:jonathan@ualberta.ca); Dr. Stephen Johnston, EAS Chair [stjohnst@ualberta.ca](mailto:stjohnst@ualberta.ca); Dr. Sandeep Agrawal, Director [sagrawal@ualberta.ca](mailto:sagrawal@ualberta.ca); Dr. Robert Summers, Associate Director [Robert.summers@ualberta.ca](mailto:Robert.summers@ualberta.ca)

# School of Urban and Regional Planning Governance

## 1. Institutional Framework

- 1.1. The School of Urban and Regional Planning (hereafter referred to as the School) is a Program within the Department of Earth and Atmospheric Sciences within the Faculty of Science.

## 2. Earth and Atmospheric Sciences Department Chair

- 2.1. Earth and Atmospheric Sciences Department Chair (hereafter referred to as the Chair) is the Department level authority for the School. As noted below, many Department-level responsibilities are deferred to the Director and Associate Chair – Urban and Regional Planning.

## 3. School Director and Associate Chair – Urban and Regional Planning

- 3.1. The School Director and Associate Chair – Urban and Regional Planning (hereafter referred to as the Director) has the responsibility to administer, implement and develop the School's undergraduate and graduate programs in consultation with the Chair and the departmental Associate Chairs Undergraduate and Graduate and colleagues within the School.
- 3.2. The Director position will be an administrative position, but the incumbent will have the same research, teaching and service obligations as all faculty members in EAS. The Director will, however, receive a teaching reduction of 1.0 courses for directing the School.
- 3.3. The Director will be appointed for a five-year term with the possibility of re-appointment by the Department Chair.
- 3.4. The Director has the right to contact the Dean of Science or Dean of Arts regarding program issues, inter-faculty issues, ongoing initiatives, or on issues of concern regarding the viability of the program.
- 3.5. The Director is responsible for leading the accreditation of both undergraduate and graduate programs in the School.

## 4. Undergraduate Programs

- 4.1. The School's Director will, in consultation with the Chair and the departmental Associate Chair Undergraduate, manage the School's undergraduate programs (BA Major in Planning and BSc Specialization in Planning). Responsibilities will include, but are not limited to:
  - 4.1.1. Scheduling courses
  - 4.1.2. Assigning teaching
  - 4.1.3. Undertaking student Recruitment (including Open House)
  - 4.1.4. Administering admissions
  - 4.1.5. Providing student advising oversight
  - 4.1.6. TA Assignments
  - 4.1.7. Bringing forward to the departmental council suggested Curriculum and Calendar Changes
  - 4.1.8. Co-op/internship placements

## 5. Graduate Programs

- 5.1. The School's Director will, in consultation with the Chair and the departmental Associate Chair Undergraduate and Associate Chair Graduate, manage the School's MSc in Urban and Regional Planning Program. Responsibilities will include, but are not limited to:
  - 5.1.1. Scheduling courses
  - 5.1.2. Assigning teaching

- 5.1.3. Student recruitment
- 5.1.4. Administering admissions
- 5.1.5. Providing student advising oversight
- 5.1.6. TA Assignments
- 5.1.7. Assigning graduate supervision
- 5.1.8. Bringing forward to the departmental council suggested Curriculum and Calendar Changes
- 5.1.9. Co-op/internship placements
- 5.1.10. Program awards and scholarships

## **6. Non-Academic Staff Management**

- 6.1. The Planning Administrator will report to the Assistant Chair (Administration), but job duties will be directed by the Director as per the job description of the position.

## **7. School's Committees**

- 7.1. The School of Urban and Regional Planning will have service committees which will be considered Department level committees for the purpose of faculty evaluation. At present these include the following:
  - 7.1.1. Graduate Admissions Committee
    - 7.1.1.1. The purpose of the Committee is to review and make decisions on the MSc (Planning) applications and any scholarships and awards available to Planning students.
    - 7.1.1.2. The Committee, chaired by the Director, will consist of at least three faculty members including the Director.
  - 7.1.2. Celebration of Planning Committee
    - 7.1.2.1. The Committee will be responsible for organizing the Celebration of Planning, the annual event of the School, in concert with industry partners.
  - 7.1.3. Web Publishing and Newsletter Committee
    - 7.1.3.1. The purpose of the Committee is to oversee and create the content of the School's web pages and to publish the School's annual newsletter.
  - 7.1.4. Facilities Management Committee
    - 7.1.4.1. The Committee will make decisions regarding the effective management and use of the Planning Studio Facilities and future resources assigned to the School by the Department.
  - 7.1.5. Planning Programs Advisory Committee
    - 7.1.5.1. The purpose of the Committee is to provide guidance and insight concerning the program including curriculum development, strategic direction, accreditation, relevance of course material, fundraising and assistance in the development of co-operative education partnerships.
    - 7.1.5.2. The Committee will meet at least once a year or more frequently as determined by the Director.
    - 7.1.5.3. The Committee will include professionals and academics as appointed by the Director. The committee will be chaired by the Director.



- 7.2. The Director can, in consultation with the Chair, establish further committees or modify the above committees as needed. The Director will write terms of reference of the above committees and appoint individuals to these committees in consultation with the Chair.

## **8. School's Academic Staff**

- 8.1. The role of Academic Staff assessment rests with Department Chair.
- 8.2. The Director will conduct the annual performance interviews for Planning faculty and make recommendations to the Chair.
- 8.3. In promotion and tenure cases, the Director will provide written advice to the Chair.

## **9. Appointments**

- 9.1. The School of Urban and Regional Planning will have associated academic appointments including the following:
  - 9.1.1. Associate Director – The Associate Director will assist the Director with the administration of the program.
  - 9.1.2. Undergraduate Advisor – The Undergraduate Advisor will be the academic advisor for the BSc and BA programs.
  - 9.1.3. Graduate Advisor – The Graduate Advisor will be the academic advisor for the MSc and PhD students.

## **10. Faculty and Staff Hiring**

- 10.1. The Director will identify faculty hiring needs and make the case for new hires to the Chair.
- 10.2. The Director will actively participate in the departmental hiring committees meant to hire faculty and staff in the School.

## **11. Budget**

- 11.1. The School's budget will fall under Director's authority. The budget will operate through the EAS office. Additionally, the School will make use of existing department resources such as the DIF lab, existing computer labs, and other existing and future resources.

## **12. Planning Courses**

- 12.1. HGP courses can be identified as Planning courses, Human Geography and Planning Courses, and/or Human Geography courses. In the near future, a proposal will be made to establish separate undergraduate course designators for the two programs. At present, that breakdown is as follows:

|  |   |
|--|---|
| Human Geography and Planning   | <ul style="list-style-type: none"><li>● HGP 100 Cultures, Landscapes and Geographic Space</li><li>● HGP 240 Cities and Urbanism</li><li>● HGP 250 Natural Resources and Environmental Management</li><li>● HGP 342 The Spatial Economy</li><li>● HGP 355 Environmental Planning</li><li>● HGP 470 Geographical Information Systems and Advanced Cartography for Social Sciences</li></ul> |
| Human Geography AND/OR Planning (Designated on a Case by Case Basis) | <ul style="list-style-type: none"><li>● HGP 381 Topics in Human Geography or Planning (Multiple Sections)</li><li>● HGP 399 Research Methods in Human Geography and Planning (two sections)</li><li>● HGP 497 Directed Study in Human Geography or Planning</li></ul>   |

- HGP 498 Directed Study in Human Geography or Planning II\*
- HGP 499 Practical Study in Human Geography and Planning

Planning

- HGP 210 Introduction to Human Geography and Planning
- HGP 211 Design Fundamentals for Planners
- HGP 310 Land Use Planning and Policy
- HGP 315 Community Planning and Engagement
- HGP 316 Planning Law
- HGP 317 Planning Theory
- HGP 355 Environmental Planning
- HGP 410 Professional Planning Practice and Ethics
- HGP 412 Finance for Planners
- HGP 485 Advanced Topics in Planning (Multiple Sections)
- HGP 495 – Planning Studio
- Additional undergraduate and/or graduate Planning courses as added

Human Geography

- HGP 252 Human Dimensions of Environmental Hazards
- HGP 341 Social and Cultural Geography
- HGP 343 Health, Space and Place
- HGP 382 Topics in Regional Geography
- HGP 443 Environment and Health
- HGP 450 Resource Management and Environmental Policy
- HGP 452 Human Dimensions of Environmental Change
- HGP 481 Advanced Topics in Human Geography
- All Graduate HGP courses
- Additional undergraduate and/or graduate Human Geography courses as added

12.2. All courses with a PLAN designator are Planning courses under the School of Urban and Regional Planning.

| course ID | course name  |
|-----------|--|
| PLAN 500  | Planning for Resilient Cities and Regions              |
| PLAN 501  | Planning for Northern Regions and Resource Communities |
| PLAN 503  | Master's Project Proposal                              |
| PLAN 505  | Master's Major Project                                 |
| PLAN 506  | Master's Planning Internship                           |
| PLAN 510  | Physical Planning and Design Fundamentals              |
| PLAN 511  | Professional Practice and Ethics                       |
| PLAN 512  | Advanced Finance for Planners                          |
| PLAN 515  | Community Planning and Engagement                      |

|          |  |
|----------|--|
| PLAN 516 | Planning Law                               |
| PLAN 517 | Advanced Planning Theory                   |
| PLAN 555 | Advanced Environmental Planning            |
| PLAN 570 | Advanced GIS for Planners                  |
| PLAN 585 | Advanced Topics in Planning                |
| PLAN 595 | Advanced Planning Studio                   |
| PLAN 598 | Advanced Research Methods and Analysis     |
| PLAN 599 | Advanced Practical Field Study in Planning |

### 13. Current Planning Faculty and Teaching Resources

- 13.1. 1.0 Science Faculty Position [Manish Shirgaokar]
- 13.2. 1.0 Science Faculty Position [Leith Deacon]
- 13.3. 1.0 Science Faculty Position [Amrita Singh]
- 13.4. 1.0 Science Faculty Position [Jeff Birchall]
- 13.5. 1.0 Science Faculty Position and Director [Sandeep Agrawal]
- 13.6. 1.0 Science FSO Position and Associate Director [Robert Summers]
- 13.7. 0.5 Science Faculty Position [Kristof Van Assche]
- 13.8. 8-10 Professional Associate (Part Time Academic Staff) Positions

DEPARTMENT OF EARTH AND ATMOSPHERIC SCIENCES

**DISCOVER**

**URBAN AND REGIONAL**

**PLANNING**

A NEW DEGREE IN A DEPARTMENT STEEPED IN HISTORY

# URBAN AND REGIONAL PLANNING PROGRAM

PLAN  
OF  
EDMONTON  
SETTLEMENT  
N. . . I.

Scale 20 Chains to 1 Inch

EXPLANATION OF COLORS

Green, Green Prairie and Woods, Dotted green, Water, Blue  
Arches, Yellow with small strokes of black, Hills or Slopes, Etching or Gray Shade  
Blue (Burnt Woods), Brown, Sellers Improvements, Pink



## MSc IN URBAN AND REGIONAL PLANNING

The **MSc in Urban and Regional Planning** is a course-based, professional degree providing advanced study of contemporary urban issues through research, study, and experiential learning modes.

The program is administered by the **Department of Earth and Atmospheric Sciences** in the Faculty of Science, with deep roots in environmental science, climate change, community planning, and northern studies. Students have numerous opportunities for cross-disciplinary research, particularly with topics in human geography, and environmental earth sciences.

Students have access to top researchers in numerous areas including sustainable community development, livable communities, northern ecosystems management, and impacts of land use/land cover change. The ability to draw on this expertise, along with access to laboratory, studio, and field research facilities such as the geographic information systems lab, planning studio space, and the digital imaging facility allows our students and faculty to excel in a collaborative and supportive learning environment.

## COMMUNITY CONNECTION

Experiential learning in the way of internships, the planning studio, and research projects keep our students connected to the community. Our strong relationship with both government and industry also allows us to bring professional planners into the classroom as teaching associates, through our **Practicing Professionals Initiative**.



# BUILDING RESILIENT COMMUNITIES



**The Urban and Regional Planning Program** strives to inspire and challenge both our undergraduate and graduate students to work with the local communities and stakeholders and apply their collective knowledge and skills in creating more vibrant, sustainable, and inclusive communities. We welcome everyone's thoughts, ideas and imaginations to be a part of this endeavor. We look forward to welcoming students and trust that our journey together will be filled with new discoveries, perspectives, and friendships.—**Sandeep Agrawal, Professor and Director of the Planning Program.**



## WHAT SETS US APART

**A focus on resilient planning and attention to issues** related to climate change, resource dependency, economic change, winter cities, and northern towns makes our degree unique to Canada. In an era where climate and economic changes result in mass migration and increased urbanization, we have a responsibility to build resilient cities and communities.

The need to develop a critical understanding of environmental and economic processes in planning for growing regions and large and small towns becomes an integral thread throughout the degree.

**The MSc in Urban and Regional Planning** is offered in two streams to cater to a growing market of diverse professionals.

### **TWO YEAR REGULAR STREAM:**

Designed for applicants with degrees other than planning and limited or no experience as a professional planner.

### **ONE YEAR ACCELERATED STREAM:**

Designed for planning professionals looking to further their career. Applicants admitted to the accelerated stream will join year two of the program.

FOR PROGRAM REQUIREMENTS VISIT [PLANNING.EAS.UALBERTA.CA](http://PLANNING.EAS.UALBERTA.CA)

## FUNDING

Financial assistance is available on a competitive basis in the form of academic assistantships, awards, and scholarships.

## OTHER PROGRAMS IN PLANNING

### **DOCTORAL PROGRAM IN PLANNING**

For students interested in a doctoral program, we offer a PhD in Earth and Atmospheric Sciences with Specialization in Urban and Regional Planning



In May 2016, a wildfire swept through **Fort McMurray, Alberta** triggering the largest wildfire evacuation in Alberta history. **Photo credit: John Ulan**

# OPPORTUNITIES IN PLANNING

PhD candidate **Lynne Mbajiorgu's research** will investigate if and how local zoning bylaws, as well as municipal development plans, changed after natural disasters in Alberta. She is also the instructor for one of the university's newest courses, "*Oil & Building Resilient Communities*", a six-week course engaging students in discussions about building resilient communities in the context of Alberta's oil and gas sector.



## RESEARCH AREAS

Our research areas span numerous aspects of urban planning including:

- Effects of human rights, multiculturalism, ethnicity and religion on urban structure and public policies, regional planning, land use and urban design and international development.—Sandeep Agrawal
- Local government decision dynamics around carbon management, and local government climate adaptation planning.—Jeff Birchall
- Environmental justice, environmental assessment, and sustainability.—Leith Deacon
- Transportation policy, land use planning, international development, and urban design.—Manish Shirgaokar
- Economic implications of environmental degradation and restoration of environmental amenities.—Amrita Singh
- Commercial development/redevelopment as public amenity, urban decay and revitalization, urban infill and densification rural water supply.—Robert Summers
- Evolution and innovation in governance; spatial, environmental and development policy.—Kristof Van Assche
- Planning and Healthcare, seniors and the built environment.—Kyle Whitfield

## UNDERGRADUATE DEGREES IN PLANNING

Opportunities to study planning at the undergraduate level are available through the **Faculty of Arts** and **the Faculty of Science**.

The **BA with a Major in Planning** covers issues such as sustainability, economic development, urban design, and social concerns in planning, while the **BSc Specialization in Planning** focuses on the natural science elements of planning, including environmental management and the use of geographic information sciences.

Work experience opportunities as well as hands-on learning through field schools and studio projects are available for both degrees.

“WE WANT TO BUILD FORWARD-THINKING, SAFER, AND HEALTHIER COMMUNITIES IN ADVANCE OF NATURAL DISASTERS.”—LYNNE MBAJIORGU

# DISCOVER URBAN AND REGIONAL PLANNING

## CONTACT

### DEPARTMENT OF EARTH AND ATMOSPHERIC SCIENCES

Planning Program Administrator  
1-26 Earth Sciences Building

#### EMAIL:

[eas.planning@ualberta.ca](mailto:eas.planning@ualberta.ca)

#### WEB:

[planning.eas.ualberta.ca](http://planning.eas.ualberta.ca)



**UNIVERSITY OF ALBERTA**  
DEPARTMENT OF EARTH AND ATMOSPHERIC SCIENCES

**Faculty of Science**  
Office of the Dean  
6-189 Centennial Centre for Interdisciplinary Science (CCIS)  
Edmonton, Alberta, Canada T6G 2E1

Tel: 780.492.4757  
Fax: 780.492.9434  
dean.science@ualberta.ca  
www.science.ualberta.ca

Date: August 22, 2018

To: Steven Dew  
Provost and Vice-President Academic

From: Jonathan Schaeffer, Dean  
Faculty of Science

Cc: Sandeep Agrawal, Director  
Urban and Regional Planning Program

Re: **Creation of the School of Urban and Regional Planning**

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Almost a decade ago, the Planning Program in the Faculty of Science was created, housed in the Department of Earth and Atmospheric Sciences. As Dean since 2012, I have invested Faculty resources in growing this program and building a strong Edmonton and Alberta reputation for it. The Planning Program has a full undergraduate program, a new (and over-subscribed) MSc program, growing ties to industry (including philanthropic support), and strong support from the City of Edmonton (including multiple student internships each year). By every metric, the program is a success.

I have attended numerous Planning Program events and met with many industry and government partners who work with the Planning Program and/or hire the Program's graduates. The most common issue that arises is the Program's identity. The Program is invisible, hidden in the Department of Earth and Atmospheric Sciences, an excellent Department with a global reputation for research and teaching in the GeoSciences. People from outside the University do not understand what urban and regional planning has to do with geology. Thus, when the Planning Program accreditation committee required the Faculty of Science to create a visible identity for the Program, I enthusiastically supported it -- hence this proposal.

Creating the School of Urban and Regional Planning (administratively housed in the Department of Earth and Atmospheric Sciences) requires no additional on-going costs. It is a one-time effort to create brand identity. Further, the name change has no administrative cost implications, as the Planning Program already operated largely autonomously within the Department. The big win is that it gives the Program an external identity.

I urge the University of Alberta to quickly approve this proposal, so that we can start rebranding the Planning Program in time for recruiting of students in 2019.

Sincerely,



Jonathan Schaeffer  
JS/rb





Monday, August 27<sup>th</sup>, 2018

Re: Proposed School of Urban and Regional Planning

As the Chair of the Department of Earth and Atmospheric Sciences (EAS), I am pleased to be able to lend my support to the proposal to recognize our Planning Program as the School of Urban and Regional Planning. Although buried within an Earth Science department, our 'Planning Program' has achieved accreditation and attracted a growing, active and high quality student body. The program offers a BA for students interested in the social and economic aspects of community planning, and a BSc for those looking to better understand and to quantify the societal impacts on our environment. At the graduate level, students are provided with the opportunity to undertake accredited Standard 2 year and Accelerated 1 Year course-based MSc programs. And for those interested in advanced research into the principals and theoretical underpinnings of Planning there is a PhD program.

The success of our Urban and Regional Planning group is attributable to the strength of our faculty, the high quality of our students, the Professional Associates connected with the program, and an Advisory Committee that has provided guidance and insight concerning curriculum development, strategic direction, accreditation, relevance of course material, and fundraising. Graduates of Urban and Regional Planning are qualified for accreditation as registered professionals, find employment in the private and public sectors, and work alongside of architects, engineers, government administrators, and private landowners in building effective, sustainable and high quality urban and rural communities. A measure of the engagement of our students can be found in our active Geography And Planning Students' Society (GAPSS). GAPSS advocates for and on behalf of all students in the Human Geography and Planning programs here at the University of Alberta, and provides a forum for all students interested in issues surrounding Urban and Regional Planning.

Rebranding our Planning Program as the School of Urban and Regional Planning would recognize the research and teaching excellence, societal impact and unique identity that has been forged by this vibrant group of faculty, staff and students. As Chair of EAS, I am proud of the success of our Planning Program and am pleased to have the opportunity to fully endorse their proposal to be rebranded as the School of Urban and Regional Planning.

Sincerely,

Dr. Stephen T. Johnston, Chair / Professor - Tectonics  
Earth & Atmospheric Sciences, 1-26 Earth Sciences Building  
University of Alberta, Edmonton, Alberta Canada T6G 2E3

6-5 Humanities Centre  
Edmonton, Alberta, Canada T6G 2E5  
Tel: 780.492.ARTS  
Fax: 780.492.7251  
[www.arts.ualberta.ca](http://www.arts.ualberta.ca)

16 August 2018

Dr. Sandeep Agrawal  
Professor & Inaugural Director  
Urban and Regional Planning Programs  
3-107 Tory

Dear Dr. Agrawal:

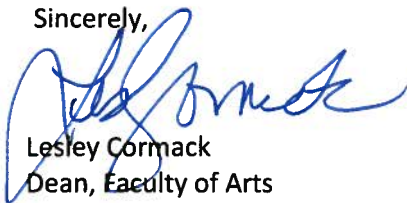
I am writing to express the full support from the Faculty of Arts for the proposal to rename the Regional Planning Programs in the Department of Earth and Atmospheric Sciences in the Faculty of Science as the School of Urban and Regional Planning.

The Planning degrees offered by this program are a vibrant and important addition to programs at the University of Alberta. The Faculty of Arts participates in this program through the offering of a BA in Planning, delivered by the Regional Planning Program. This is a popular program, and we have had a strong and productive relationship with the Program as they developed and delivered these programs.

Renaming this program as the School of Urban and Regional Planning will make this program more visible and reflects best practice in other institutions across North America.

I look forward to greater visibility for the Program and to its major and continuing contribution to U of A, Edmonton, and the wider community.

Sincerely,



Lesley Cormack  
Dean, Faculty of Arts

Killam Centre for Advanced Studies  
2-29 Triffo Hall, University of Alberta  
Edmonton, Alberta, Canada T6G 2E1  
Tel: 780.492.3499  
Fax: 780.492.0692  
[grad.mail@ualberta.ca](mailto:grad.mail@ualberta.ca)  
[ualberta.ca/graduate-studies](http://ualberta.ca/graduate-studies)

Sandeep Agrawal  
Professor & Director, Urban and Regional Planning Programs  
Associate Chair, Earth & Atmospheric Sciences  
3-107 Tory, Urban Environment Observatory  
University of Alberta

September 6, 2018

Dear Dr. Agrawal,

I am writing to confirm the support of the Faculty of Graduate Studies and Research for the proposal from the Faculty of Science to group the set of Urban and Regional Planning Programs into the School of Urban and Regional Planning. We understand that there are no changes to the naming of the graduate degrees themselves.

FGSR acknowledges that the change would make the program more identifiable within and outside of the University, and aligns it to the standard among University Planning Programs across the country, and as such, we extend our support.

Sincerely,



Debby Burshtyn, PhD  
Interim Vice-Provost and Dean  
Faculty of Graduate Studies & Research



MICHAEL WALTERS  
COUNCILLOR, WARD 10

2nd FLOOR, CITY HALL  
1 SIR WINSTON CHURCHILL SQUARE  
EDMONTON, ALBERTA, CANADA T5J 2R7  
PHONE 780-496-8132  
FAX 780-496-8113  
EMAIL michael.walters@edmonton.ca

August 24, 2018

Re: School of Urban and Regional Planning – Letter of Support

To Whom it May Concern,

Please accept this letter of support of the School of Urban and Regional Planning in their application for the establishment of the School of Urban and Regional Planning within the Department of Sciences at the University of Alberta. Currently, the Planning Program's placement in the Earth and Atmospheric Science department in your prestigious organization is out of line with the group's identity, being in a Department which does not properly reflect the program's mandate and goals. The Planning Program houses many students and faculty taking great leaps in the area of Planning, which is beneficial not only for the University of Alberta, but also the community as whole. The Planning Program works to better the future for many individuals and fosters an ambitious academic community built on creating positive change.

I support this change and progressive step forward because:

- The Planning Program is a unique organization at the University, being one of the few programs of its kind in the country;
- This change would increase name recognition, and further enrich its identity within the organization as a whole
- The group's activity in the community, working with communities for opportunities like scholarships and events to positively impact individuals pursuing education and/or work in the industry
- The creation of the School reaches the standard of Accreditation and legitimizes the program as a whole

This change would be a beneficial move for the University and the Planning Program. Placement in the Department of Sciences would foster a better identity for the program, being an advantageous direction for students, stakeholders, community organizations, and the program as a whole.

Sincerely,

Michael Walters  
Ward 10 City Councillor





To Whom It May Concern:

We are writing this letter as Presidents of the Geography and Planning Students' Society, representing students from undergraduate and graduate programs in Human Geography and Planning at the University of Alberta.

This letter is an official expression of support of the proposal to re-distinguish the Planning Program as the School of Planning. We anticipate this change will yield many positive outcomes for students and the program, with relatively few, if any, negative side effects.

We are aware that most post secondary institutions offering planning programs have distinguished themselves in a manner where they identify as their own school, especially as their programs develop and become more highly regarded. Distinguishing the University of Alberta's planning program in such a way would provide heightened credibility, visibility, and identity. These are particularly important aspects for a young and growing planning program, such as the University of Alberta's.

Elevating the status of this program not only improves the odds of success of the program, but will also benefit students with Planning degrees who are entering the workforce, enabling them to be more competitive and well recognized. Over the past decade, we have welcomed our first undergraduate (BA and BSc), and masters (MSc) students in human geography and planning, and are anticipating promoting the University of Alberta's Planning programs even further as the University hosts PLACE18, the first National Planning Student Conference in Canada since 2014.

We remain committed to both the needs of planning students and human geography students, and do not anticipate negative effects on either group; if anything, this provides a more distinct identity for both human geography and planning students, and thus a greater strength in diversity amongst our members.

The Geography and Planning Students' Society is very excited about this potential new development and looks forward to seeing the University of Alberta Planning Program progress into the University of Alberta Planning School – a well deserved designation.

Sincerely,

Hayley Wasylycia, President of Undergraduate Studies  
Jared Candlish, President of Graduate Studies



August 13, 2018

Reference No.: 288783564-001

Sandeep Agrawal, PhD, AICP, MCIP  
Professor & Inaugural Director, Urban and Regional Planning Programs  
Associate Chair, Earth & Atmospheric Sciences  
University of Alberta  
3-107 Tory, HM  
Edmonton AB T6G 2H4

Dear Dr. Agrawal:

Thank you for your July 28, 2018, email regarding the proposal to rename the University of Alberta's Urban and Regional Planning Programs to the School of Urban and Regional Planning. We are supportive of this change. The new name would make your educational offerings more visible to potential students, better communicate the integrated and professional nature of the planning programs, and contribute to the credibility of the programs by aligning the name with that of most other planning education programs across Canada.

The City of Edmonton has benefitted from the U of A's planning programs since the undergraduate programs began in 2012. Questions and ideas from students and professors have animated local planning thinking. Student internships have energized City initiatives. Alumni have made excellent contributions as City employees and as consultants interacting with the City.

We look forward to more of the same from a rebranded planning school.

Yours truly,

A handwritten signature in blue ink, appearing to read "Peter Ohm".

Peter Ohm, RPP, MCIP  
Chief Planner



7 August 2018

Dr. Jonathan Schaeffer, Dean  
Faculty of Science  
University of Alberta

Dear Dean Schaeffer:

I write as a member of the Advisory Committee of the Urban and Regional Planning Program, for the purpose of supporting its formal redesignation as a School within the Faculty of Science.

The rationale prepared in support of redesignation is, for me, a compelling one – part of the rapid maturation of a “program” that now, as noted, offers multiple degrees for which it must secure professional accreditation and rightly aspires to take its place among academic peers (such as UBC’s *School of Community and Regional Planning*). Redesignation is therefore a prudent response to the challenges of institutional visibility and profile. It will strengthen recruitment of excellent students, relationships with employers and research partners, and loyalty among graduates as they take their place in the profession. As you will know, Urban and Regional Planning is, and must be, externally oriented in its work to a degree that is unusual within the University. It should not be hard to find or unclear about its identity.

Thanks for your support of this important initiative.

Sincerely,

Roger Epp  
Professor



August 17, 2018

Dr. Jonathan Schaeffer  
Dean of the Faculty of Science  
University of Alberta – Faculty of Science  
1-001 CCIS  
University of Alberta  
Edmonton, Alberta T6G 2E9

**Re: The proposal from University of Alberta's Faculty of Science to change the name of the *Urban and Regional Planning Program* to the *School of Urban and Regional Planning***

Dear Dr. Schaeffer,

Established in 1919, the Canadian Institute of Planners is a national association that works on behalf of over 6,800 planning professionals. We are the voice of Canadian Planning and endeavour to raise the profile of professional planning and planners nationally and internationally, through leadership, advocacy, expertise, and education.

The Canadian Institute of Planners would like to express our support for the proposal from the University of Alberta's Faculty of Science to change the name of the *Urban and Regional Planning Program* to the *School of Urban and Regional Planning*.

This change, recommended after a recent national accreditation review, would bring the University of Alberta in line with other planning academic institutions across the country. We also believe that it will elevate the stature of the University of Alberta's extensive planning program offering. As a result, this could attract more planning students to the University and thereby our profession. It could also bring greater public and private sector awareness to the planning program, provide more opportunities to engage the local community, along with increased opportunities for research and scholarship.

Should you have any questions regarding the above, please do not hesitate in contacting the undersigned.

Sincerely,

Eleanor Mohammed MTCP, HBA, Env. Mgmt., RPP, MCIP  
President

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cip-icu.ca

August 13, 2018

Sandeep Agrawal, PhD, AICP, MCIP  
Professor, Urban and Regional Planning Programs  
3-107 Tory, Urban Environment Observatory,  
University of Alberta, Canada

Dear Sir:

**RE: Establishment of the School of Urban and Regional Planning**

---

I'm pleased to write this letter, in my capacity as a member of the Advisory Committee for the Planning Program, and advise of my formal support for the establishment of the School of Urban and Regional Planning.

The school is proposed to be embedded in the Department of Earth and Atmospheric Sciences in the Faculty of Science and will house the 4 academic programs within the department that are commonly collectively referred to as the 'Planning Program'. These includes two undergraduate programs, the BA Major and BSc Specialization, a new Master's program (MSc Planning) and a PhD with specialization in Planning. The Program currently has close to 80 undergraduate, 35 graduate and 6 PhD students. 1 postdoctoral fellow will be joining the Program as of September 1st 2018.

The Planning Program is one of only a handful of such programs in Canada and prides itself in being very active in the local community and maintaining a strong relationship with the industry of which I'm a conduit. It has actively built up an endowment (from Brookfield Residential), which is being used for students' scholarships and to hold annual distinguished speaker event. The industry partners such as Stantec and my company, Beaverbrook also support several students' awards and scholarships.

Through my work on the Advisory Committee, I have noticed that the Program currently suffers in terms of its identity in a Department whose name also does not fully reflect what the Planning program is all about and what it does. The Program adheres to a set of requirements different from the rest of the Department. For instance, it undergoes an intensive accreditation review by a team of planning practitioners every 5 years.





In a recent accreditation review, the site visit team questioned the invisibility of the program within the Department and recommended the creation of a new entity along with a separate designation for the Planning courses so that it can distinguish itself from other academic units within the Department including Human Geography. I feel this is important because there has been confusion expressed at times as to whether the program at the U of A is just part of the Human Geography program or whether it is a 'legitimate' planning program.

By creating the School, it would be compliant with all the accreditation recommendations. Moreover, it would create name recognition, develop its own identity and eliminate any confusion to the potential undergraduate and graduate students and external planning community. Out of 16 or so Planning academic units across the country, a vast majority of the units are identified as a "School".

Sincerely,

**Jodie Wacko, RPP, MCIP**

President, Communities and Commercial  
Office 780.484.4389 | Direct 780.408.8117  
Email [jwacko@beaverbrook.ca](mailto:jwacko@beaverbrook.ca)  
[beaverbrook.ca](http://beaverbrook.ca)



MEMORANDUM

August 15th, 2018

To: Sandeep Agrawal, Program Director  
From: Bruce Duncan RPP FCIP  
Subject: Planning School Name Change

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I can support the name change proposed in your submission, Governance Executive Summary. The proposed name is a clearer indication as to what the school is teaching as well as being the much more common title for a planning program that strives to give students a broad exposure to land based planning.

My planning experience started in the Division of Town and Regional Planning at the University of Toronto, so naming the planning program at the University of Alberta "School of Urban and Regional Planning" just seem a logical thing to do. The curriculum in place will not be affected by the proposed name change.

If you require additional information regarding my support, please contact me.

  
Bruce Duncan RPP FCIP





August 20, 2018

Dr. Jonathan Schaeffer, PhD  
Dean of Science  
Faculty of Science  
1-001 CCIS  
University of Alberta  
Edmonton AB T6G 2E9

Dear Dr. Schaeffer:

On behalf of the Alberta Professional Planners Institute (APPI) please accept this letter of support for the University of Alberta's Faculty of Science proposal to change the name of the Urban and Regional Planning Program to the School of Urban and Regional Planning. The Alberta Professional Planners Institute is the professional institute that regulates and advocates on behalf of over 1000 professional planners, in the public interest.

The University of Alberta's accredited 'Planning Program' currently and collectively includes two undergraduate programs a new Master's program and a PhD with a specialization in Planning. Since the inception of the original undergraduate programs, APPI has witnessed strong support of these programs from both the City of Edmonton and industry and the Institute's engagement with the planning students and graduates from the program have been very favourable. We highly anticipate that the demand for academic training in planning will continue to grow and the profession appreciates the University of Alberta's commitment to ongoing education of Alberta's future professional planners.

APPI has been informed that the Faculty of Science is proposing to change the name of the Urban and Regional Planning Program to the School of Urban and Regional Planning. APPI fully supports this initiative and believes that the new proposed name more clearly articulates the program's unique status within the Faculty of Science and will elevate the program's identity from other academic units within the Department, the University of Alberta and outside of the University of Alberta academic community. The proposed name, 'School' of Urban and Regional Planning', will strongly establish the program as a distinct and 'legitimate' Canadian planning program, more in line with the accreditation standards for planning profession which require that the program offering the degree in planning shall be a recognizable administrative unit within the educational institution.

If you require more information about the Alberta Professional Planners Institute, please contact our MaryJane Alanko, APPI Executive Director, at [execdir@albertaplanners.com](mailto:execdir@albertaplanners.com) or via phone at 780-297-0626.

Sincerely,

Erin O'Neill, RPP, MCIP  
President, Alberta Professional Planners Institute



## CALENDAR CHANGE REQUEST FORM

**Department:** Earth and Atmospheric Sciences (Planning) **DEADLINE**

**Implementation:**  NORMAL October 15 \*  
 EARLY (Note: new course offerings only)

**Type of Change:**  Program Regulation March 1\*  
 New Course  Course Change April 15\*  
 Course Deletion  Editorial April 15

| <b>CURRENT</b><br>Calendar Section Number (§)<br><i>(Use strike out and highlight for all deletions)</i>  | <b>PROPOSED</b><br>Calendar Section Number (§)<br><i>(Underline and highlight all additions)</i>  |
|---|---|
| <p><b>Planning [Arts]</b></p> <p>The <del>Planning program</del> educates students in the scientific, aesthetic, and orderly disposition of land, resources, facilities and services with a view to securing the physical, economic and social efficiency, health and well-being of communities. Planners work for all levels of government and in professional planning consultancies.</p> <p>The Department of Earth and Atmospheric Sciences (Faculty of Science) offers a BA major in Planning and a BSc Specialization in Planning. Students interested in focusing on natural science elements of planning, including environmental management and the use of geographic information sciences, should consider the BSc Program (see Science Chart 5) and those interested in the aesthetic, economic, and social issues of planning should consider the BA program.</p> | <p><b>Planning [Arts]</b></p> <p>The School of Urban and Regional Planning educates students in the scientific, aesthetic, and orderly disposition of land, resources, facilities and services with a view to securing the physical, economic and social efficiency, health and well-being of communities. Planners work for all levels of government and in professional planning consultancies.</p> <p>The <u>School of Urban and Regional Planning in the</u> Department of Earth and Atmospheric Sciences (Faculty of Science) offers a BA major in Planning and a BSc Specialization in Planning. Students interested in focusing on natural science elements of planning, including environmental management and the use of geographic information sciences, should consider the BSc Program (see Science Chart 5) and those interested in the aesthetic, economic, and social issues of planning should consider the BA program.</p> |
| <p><b>Specialization in Planning [Science]</b></p> <p><b>Specialization in Planning</b></p> <p>The <del>Planning program</del> educates students in the scientific, aesthetic, and orderly disposition of land, resources, facilities and services with a view to securing the physical, economic and social efficiency, health and well-being of communities. Planners work for all levels of government and in professional planning consultancies</p> <p>The Department of Earth and Atmospheric Sciences offers a BA major in Planning and a BSc Specialization in Planning. Students interested in</p>   | <p><b>Specialization in Planning [Science]</b></p> <p><b>Specialization in Planning</b></p> <p>The <u>School of Urban and Regional Planning</u> educates students in the scientific, aesthetic, and orderly disposition of land, resources, facilities and services with a view to securing the physical, economic and social efficiency, health and well-being of communities. Planners work for all levels of government and in professional planning consultancies</p> <p>The <u>School of Urban and Regional Planning in the</u> Department of Earth and Atmospheric Sciences offers a BA major in Planning and a BSc Specialization in</p>   |

focusing on natural science elements of planning, including environmental management and the use of geographic information sciences, should consider the BSc program and those interested in the aesthetic, economic, and social issues of planning should consider the BA program (see Planning of the Calendar).

Planning. Students interested in focusing on natural science elements of planning, including environmental management and the use of geographic information sciences, should consider the BSc program and those interested in the aesthetic, economic, and social issues of planning should consider the BA program (see Planning in the Calendar).