

The following Motions and Documents were considered by the GFC Executive Committee at its Monday, May 11, 2020 meeting:

Agenda Title: **Recruitment and Selection of Employees Policy and Procedures**

CARRIED MOTION:

THAT the General Faculties Council Executive Committee recommend the Board of Governors approve the amended Recruitment and Selection of Employees Policy, Faculty Deans Selection and Review Procedures, Department Chair Selection and Review Procedures, Academic Selection Procedure, and Acting and Interim Senior Administration Appointment Procedure, as set forth in attachments 3a, 3e, 3f, 3g, 3h, 3i and 3m, as amended, to take effect upon final approval.

FINAL Item 4

Agenda Title: **Approval of the Proposed Terms of Reference for a New GFC Programs Committee, and Related Changes to the Terms of Reference for the GFC Council Executive Committee and the GFC Academic Planning Committee, and the Disbanding of the GFC Academic Standards Committee**

CARRIED MOTION:

THAT the GFC Executive Committee recommend that General Faculties Council approve the proposed terms of reference for a New GFC Programs Committee, as set forth in attachment 1, to take effect on September 1, 2020.

CARRIED MOTION:

THAT the GFC Executive Committee recommend that General Faculties Council approve the proposed changes to the terms of reference for the GFC Executive Committee and the GFC Academic Planning Committee, as set forth in attachments 2 and 3, to take effect on September 1, 2020.

CARRIED MOTION:

THAT the GFC Executive Committee recommend that General Faculties Council disband the GFC Academic Standards Committee, effective September 1, 2020.

FINAL Item 5

Agenda Title: **University of Alberta Non-Credit Credentials Framework**

CARRIED MOTION:

THAT the GFC Executive Committee recommend that General Faculties Council approve the University of Alberta Non-Credit Credential Framework.

FINAL Item 6

Agenda Title: **Draft Agenda for the Next Meeting of General Faculties Council**

CARRIED MOTION:

THAT the GFC Executive Committee approve, under delegated authority from General Faculties Council, the Agenda for the May 25, 2020 meeting of General Faculties Council, as set forth in Attachment 1.

FINAL Item 9

FINAL Item No. 4

Governance Executive Summary
Action Item

Agenda Title	Recruitment and Selection of Employees Policy and Procedures
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Motion

THAT the General Faculties Council Executive Committee recommend the Board of Governors approve the amended Recruitment and Selection of Employees Policy, Faculty Deans Selection and Review Procedures, Department Chair Selection and Review Procedures, Academic Selection Procedure, and Acting and Interim Senior Administration Appointment Procedure, as set forth in attachments 3a, 3e, 3f, 3g, 3h, 3i and 3m, as amended, to take effect upon final approval.

Item

Action Requested	<input type="checkbox"/> Approval <input checked="" type="checkbox"/> Recommendation
Proposed by	Steven Dew, Provost & Vice-President (Academic)
Presenter(s)	Wendy Rodgers, Deputy Provost Jax Oltean, Senior Legal Counsel, Office of General Counsel

Details

Office of Administrative Responsibility	Vice-Provost & Associate Vice-President (Human Resources) and Faculty Relations, Office of the Provost & Vice-President (Academic)
The Purpose of the Proposal is (<i>please be specific</i>)	For review and recommendation of proposed changes to the Recruitment and Selection of Employees Policy and specific procedures under GFC's authority. Other procedures are not within the formal authority of GFC, but are included for information
Executive Summary (<i>outline the specific item – and remember your audience</i>)	<p>The Recruitment policy suite establishes the principles and basic procedures for recruitment and selection of individuals to be employed by the University of Alberta. The policy suite is being revised in light of the mandate for policy review set out in the Strategic plan for Equity, Diversity and Inclusivity (EDI strategic plan) approved in 2018.</p> <p>The proposed changes are to ensure that recruitment and employment processes are equitable and inclusive, and conducive to achieving greater diversity of the university community. Making these changes is imperative to meet our own strategic goals as well as new and increasing accountability requirements for federal and other programs that support scholarship.</p> <p>The revisions of the Recruitment Policy suite will:</p> <ul style="list-style-type: none"> • Incorporate EDI principles and practices for recruitment and selection processes • Remedy known exclusions and gaps in the current policy and procedures • Improve clarity and consistency across the current policy and procedures <p>The proposed changes to practice include:</p> <ul style="list-style-type: none"> • Clarification of principles for equitable recruitment and decision making processes • Revision of requirements for committee composition to ensure diversity and inclusion • Requirements for training on equity, anti-discrimination and bias-awareness

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	<ul style="list-style-type: none"> • Emphasis of requirements for declaration of conflict of interest to ensure fairness • Details on how to conduct an equitable and inclusive search and selection including the drafting of the job ad and advertising of the position to favour a diverse pool of applicants <p>In addition to the above amendments intended to advance EDI, substantive changes are proposed to the Faculty Deans Review Procedure that aim to ensure fairness to incumbents and strengthen the process. These amendments address the following identified issues:</p> <ul style="list-style-type: none"> • Provide clarity on how conflict of interest and confidentiality will be managed during the process; • Improve role clarity for all participants in the process by outlining a detailed, sequential description of the dean review process, from initiation to reappointment; • Streamline and standardize the Dean Review Committee composition for all Faculties; • Outline the specific metrics of performance being assessed through the introduction of Review Criteria; • Position dean review committees with better information at the beginning of the process by requiring tailored community consultation; • Provide more detailed community feedback to the incumbent dean prior to the Faculty Forum, allowing them the opportunity to more fully address community feedback at the Faculty Forum. <p>Additional context is provided in Attachment 1 – Case for Action.</p>
Supplementary Notes and context	Please note: these policy and changes are still being reviewed by the Association of Academic Staff University of Alberta (AASUA). Written comments from this review will be circulated to the GFC Executive Committee once available.

Engagement and Routing (Include meeting dates)

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

Strategic Alignment

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

Attachments

1. Addition of Equity Diversity and Inclusion Language to the Recruitment and Selection of Employees Policy Suite ("Recruitment Policy") - Case for Action (pages 1 - 3)
2. Revisions to the Faculty Deans Review Procedure - Case for Action (1 page)
3. Recruitment and Selection of Employees Policy "Recruitment Policy" (page(s) 1 - 70)
 - a. Recruitment and Selection of Employees Policy "Recruitment Policy" (for recommendation)
 - b. Vice-Presidential Search Procedure

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- c. Vice-Presidential Review Procedure
- d. Vice-Presidential Search and Review Procedures Appendix A: Committees for Vice-Presidents
Position Definitions and Eligibility
- e. Faculty Deans Selection Procedure (for recommendation)
- f. Faculty Deans Review Procedure (for recommendation)
- g. Department Chairs Selection Procedure (for recommendation)
- h. Department Chairs Review Procedure (for recommendation)
- i. Academic Selection Procedure (for recommendation)
- j. Academic Staff Posting and Advertising Procedure
- k. Support Staff Selection Procedure
- l. Support Staff Posting and Advertising Procedure
- m. Acting and Interim Senior Administration Appointment Procedure (for recommendation)

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

Addition of Equity Diversity and Inclusion Language to the Recruitment and Selection of Employees Policy Suite (“Recruitment Policy”)

Case for Action

Winter 2020

Context:

The Recruitment policy suite establishes the principles and basic procedures for recruitment and selection of individuals to be employed by the University of Alberta. The policy suite is being revised in light of the mandate for policy review set out in the Strategic plan for Equity, Diversity and Inclusivity (EDI strategic plan) approved in 2018. The EDI strategic plan is a key element in creation of expectations and standards of accountability and transparency in creating a more diverse, equitable, and inclusive university. Such standards and associated reporting are now required by agencies such as the Canada Research Chairs Program (CRCP), for example.

The policy suite has not been reviewed holistically in 30 years, with sporadic review of some components during that time. The social context of recruitment and selection, along with the social and economic relevance of the university, have changed substantively over the years. To be a leader in social and economic responsibility and change, the university’s policies and procedures should be revised to reflect aspirational goals and to establish the university as a leader in EDI and as influential in social, cultural, and economic growth.

The proposed changes are to ensure that recruitment and employment processes are equitable and inclusive, and conducive to achieving greater diversity of the university community, which will deliver subsequent benefits of greater diversity of perspectives, critical thought, and social relevance. By adopting EDI principles and practices, the University hopes to achieve equity in the workplace and correct historical employment disadvantages experienced by persons underrepresented at the University, while maintaining and enhancing the quality of the workforce. Greater fairness in hiring practices ensures the university is not reproducing a narrow and thus ideologically impoverished approach to its mission to benefit society through teaching, learning, research and creative activity. Making these changes is imperative to meet our own strategic goals as well as new and increasing accountability requirements for federal and other programs that support scholarship.

Overall, the proposed changes incorporate best practices for ensuring fairness, which is the essential goal of EDI and bring the whole suite into alignment with contemporary expectations and standards regarding an equitable workforce. Historically, the lack of change or slow change in the diversity of particularly more senior employees, and the committees that selected them, suggest that a more firm and directive approach is required. Furthermore, the composition of the academy and its culture in the 1980s and 1990s is not commensurate with a current culture where, for example, the president is no longer the chair of all hiring committees for senior positions, and those senior positions are no longer professors with a particular interest, but specialists in finance or facilities, for example. Furthermore the employee groups those specialists lead have grown, or should have grown, in diversity of demographic characteristics as well as skills and credentials, necessitating conscientious attention to fairness and inclusivity

in those employment contexts. The way we choose our leaders and employees influences the university's ability to support its own workforce effective and thriving workforce.

Key Objectives:

The revisions of the Recruitment Policy suite will:

- Incorporate EDI principles and practices for recruitment and selection processes
- Remedy known exclusions and gaps in the current policy and procedures
- Improve clarity and consistency across the current policy and procedures

Desired Outcomes:

The revisions follow the principles set out under Objective 3: Workforce (Faculty and Staff) of the EDI Strategy:

The university's commitment to EDI is reflected in recruitment, retention, and advancement of faculty and staff; faculty and staff are prepared to work in a diverse environment and have the knowledge and skills to contribute to equity and inclusivity.

The proposed changes to practice include:

- Clarification of principles for equitable recruitment and decision making processes
- Revision of requirements for committee composition to ensure diversity and inclusion
- Requirements for training on equity, anti-discrimination and bias-awareness
- Emphasis of requirements for declaration of conflict of interest to ensure fairness
- Details on how to conduct an equitable and inclusive search and selection including the drafting of the job ad and advertising of the position to favour a diverse pool of applicants

Summary of Changes:

The Recruitment Policy has broad institutional impacts for recruitment and selection of staff at the University of Alberta. There are 22 procedures under the Policy, of which ten have been reviewed to integrate EDI principles. The overarching policy includes the EDI principles which are repeated in each of the procedures for clarity and consistency and to support typical usage. The proposed changes can be summarized as follows:

	Overview statement reflects EDI principles	Job posting drafted to promote EDI	Decision-making that supports EDI	Committee structure promotes EDI	Requirement for diverse applicant pools	Accountability of Senior Administrator for EDI in process	Management of conflict of interest
VP Search							
VP Review		N/A			N/A		
Deans Selection							
Dean's Review		N/A			N/A		

Chairs Selection							
Chairs Review		N/A			N/A		
Academic Selection							
Academic Posting and Advertising							
Support Staff Selection							
Support Staff Posting and Advertising							

Responsibility:

The policy review is sponsored by the Provost Vice-President (Academic) with the support of the Vice-President (Finance & Administration).

- The initiative is led by Deputy Provost Wendy Rodgers, in close collaboration with Human Resource Services (HRS), Faculty Relations (FR), and in consultation with General Counsel.
- Consultations will include senior leadership of the university including Deans, Chairs, Vice-Provosts and Vice-Presidents.
- Academic and non-academic staff associations will be formally asked for feedback.
- Special advice has been provided throughout by Provost's Fellow for EDI, Malinda Smith.

Revisions to the Faculty Deans Review Procedure

Case for Action

Winter 2020

Rationale for changes to the Dean Review Procedure

Like the Recruitment Policy as a whole, the Dean Review Procedure has not been substantively reviewed since 2011. This review aligns with the Equity, Diversity and Inclusivity (EDI) Strategy requirement to review University policy using an equity lens. However, in addition to the EDI elements that were integrated throughout the suite, there are proposed substantive changes to the process that aim to ensure fairness to incumbents and strengthen the process.

Key Objectives and Summary of Changes:

The revisions of the Faculty Deans Review Procedure will:

- Provide clarity on how conflict of Interest and confidentiality will be managed during the process;
- Improve role clarity for all participants in the process by outlining a detailed, sequential description of the dean review process, from initiation to reappointment;
- Streamline and standardize the Dean Review Committee composition for all Faculties;
- Outline the specific metrics of performance being assessed through the introduction of Review Criteria;
- Position dean review committees with better information at the beginning of the process by requiring tailored community consultation;
- Provide more detailed community feedback to the incumbent dean prior to the Faculty Forum, allowing them the opportunity to more fully address community feedback at the Faculty Forum.

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May 11, 2020

Recruitment and Selection of Employees Policy “Recruitment Policy”

Office of Accountability: Provost and Vice-President (Academic) and Vice-President (Finance and Administration)

Office of Administrative Responsibility: Vice-Provost & Associate Vice-President (Human Resources) and Faculty Relations, Office of the Provost & Vice-President (Academic)

Approver: General Faculties Council & Board of Governors

Scope: Compliance with University policy extends to all academic, support and excluded staff, postdoctoral fellows, and academic colleagues as outlined and defined in the Recruitment Policy (Appendix A and Appendix B: Definitions and Categories).

Overview

To sustain its high quality workforce, the University of Alberta (“University”) is committed to hiring the best-qualified candidates for its employment opportunities and aspires to achieve an equitable, diverse and inclusive community of employees consistent with the mission set out in its *Strategic Plan for Equity, Diversity, and Inclusivity* (“EDI Strategic Plan”) and Institutional Strategic Plan *For the Public Good*. The University seeks to be a leader in equity, diversity and inclusivity in recruitment.

The University will actively encourage the recruitment of persons historically under-represented at the University - including women, Indigenous persons, members of visible minority groups, persons with disabilities and persons who identify with under-represented sexual orientations, gender identity or expression. Achieving the University’s goals of an equitable, diverse, inclusive and high-quality workforce, requires the conscious adoption of principles and practices in its recruitment processes including its processes related to the composition of selection and review committees. These principles and practices are designed to ensure that access to the University’s employment opportunities is equitable and inclusive by removing employment-related barriers, particularly those based on protected grounds. This will require periodic assessment of demographic, intellectual, and other aspects of diversity when contemplating a search. Committees must consider any diversity-related issues that exist with respect to the relevant employee group and must consider what steps it may reasonably take to address those issues.

By adopting EDI principles and practices, the University hopes to achieve equity in the workplace and correct employment disadvantages experienced by persons historically underrepresented at the University.

Purpose

The purpose of this policy is to set out the principles and practices that apply to

- recruitment decisions and processes, and
- candidates for employment

in order to recruit an equitable, diverse, inclusive and high-quality workforce. Doing so will contribute to

the University's mission, achieve equality in the workplace, correct employment disadvantages experienced by persons historically underrepresented at the University, and advance excellence, innovation, creativity and engagement for the public good.

POLICY

1. RECRUITMENT PRINCIPLES

- a. Each recruitment process will be viewed as an opportunity to move towards a more equitable, diverse and inclusive community of high-quality employees. In all recruitment processes, the job posting will describe the required qualifications in an objective, equitable, and inclusive way.
- b. Decisions will be governed by federal and provincial law and legislation, in accordance with the terms and conditions set out in our collective agreements and staff handbooks, University policy, the *Discrimination, Harassment and Duty to Accommodate Policy*, and the EDI Strategic Plan all as may be amended from time to time.
- c. Recruitment and decision-making processes will be structured to promote the equitable assessment of candidates. They will reflect a commitment to removing employment-related barriers, especially those experienced by persons historically under-represented.
- d. Equity, diversity and inclusivity should factor into the choice of selection committee members themselves as well as the short-listed candidates. Specifically, committees and candidate pools should, to the extent possible, include persons historically under-represented in the discipline, field, and/or employment or job category of focus.
- e. Where candidates are determined to be similarly qualified for a position, the final hiring decision will favour the selection of person(s) historically under-represented at the University, especially in the discipline, field and/or employment or job category of focus. This shall be done in accordance with the terms and conditions of the collective agreements.
- f. **Senior administrators** are responsible for ensuring that recruitment and decision-making processes within their respective areas of accountability are equitable, appropriately documented, and contribute to an equitable, diverse and inclusive community of employees.

2. PRINCIPLES REGARDING CANDIDATES FOR EMPLOYMENT

- a. All qualified individuals may apply for an employment position at the University including University employees, students and alumni. The University actively encourages persons historically under-represented at the University to apply by, for example, advertising in media accessed by those groups.
- b. **Foreign nationals** may apply for employment positions. The appointment of a foreign national to the position is, however, subject to applicable federal and provincial laws and legislation.
- c. The employment of **children** is subject to applicable provincial laws and legislation.
- d. The University's **Conflict Policy** and *Managing Conflict of Interest in Employment Procedure* applies to the recruitment and employment of persons with the University. **Family members or associated individuals** may apply for employment positions but the related employee will not be included in the recruitment process or hiring decision. At the same time, family members or associated individuals should receive full consideration for University positions for which they are qualified.

DEFINITIONS

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

Equity/Equitable In the context of this policy, equity is about fair access to employment and the opportunity to succeed in this domain. Employment equity principles, policies, and practices promote [or facilitate] access, representation, opportunities, and meaningful participation of persons historically under-represented.

Diversity In the context of this policy, diversity refers to the demographic and identity difference and variety within the University's workforce, including that based on the protected grounds. More broadly, within the University, diversity also encompasses difference or variety in education, ideas, perspectives, opinions, heuristics, disciplines, methodologies, epistemologies, faculties, skills, and learning opportunities.

Inclusion/Inclusivity In the context of this policy, inclusion is a principle and practice that values and cultivates the full and meaningful participation and representation of persons historically under-represented in the University's workforce.

Employee(s) A person employed by the University and defined under *Recruitment Policy (Appendix A) Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff or Recruitment Policy (Appendix B) Definition and Categories of Support Staff.*

Persons historically under-represented Women, Indigenous persons (First Nations, Métis, Inuit), members of visible minority groups, persons with disabilities, persons who identify with under-represented sexual orientations, gender identity or expression.

Protected Grounds Refers to those grounds set out and defined in the *Alberta Human Rights Act* and in the University's *Discrimination, Harassment and Duty to Accommodate Policy (UAPPOL)* which are: race, religious beliefs, colour, gender, gender identity, gender expression, physical disability, mental disability, age, ancestry, place of origin, marital status, source of income, family status, sexual orientations or political beliefs.

Senior Administrators President, Vice-Presidents, Deputy Provost, Associate Vice-Presidents, Vice-Provosts, Deans, Directors and Chairs.

Foreign national Any individual who is not a Canadian Citizen or Permanent Resident of Canada (Permanent Resident must continue to meet residency requirements).

Children Persons under the age of 16 as defined in s.65(1) of the Employment Standards Code.

Conflict Conflict of interest, conflict of commitment, or institutional conflict as defined in the University of Alberta Conflict Policy – Conflict of Interest and Commitment and Institutional Conflict Policy

Family Member Includes a current employee's spouse or adult interdependent partner or another individual to whom the person is related by blood, marriage, or adoption.

Associated Individuals An individual whose employment by a staff member would have the appearance of being a conflict of interest. This includes consensual personal relationships and business relationships.

RELATED LINKS

Should a link fail, please contact uappol@ualberta.ca.

[Alberta Human Rights Act \(Government of Alberta\)](#)

[Conflict Policy – Conflict of Interest and Commitment, and Institutional Conflict \(UAPPOL\)](#)

[Discrimination, Harassment and Duty to Accommodate Policy \(UAPPOL\)](#)

[Employment Standards Code \(Government of Alberta\)](#)

[Equity, Diversity, and Inclusion: Best Practices in Faculty Recruitment and Hiring](#)

[Ethical Conduct and Safe Disclosure Policy \(UAPPOL\)](#)

Human Resources and Skills Development (Government of Canada)

Immigration and Refugee Protection Act (Department of Justice)

Post-Secondary Learning Act (Government of Alberta)

Public Service Employee Relations Act (Government of Alberta)

[University of Alberta's Strategic Plan for Equity, Diversity and Inclusivity](#)

PUBLISHED PROCEDURES OF THIS POLICY

Academic Selection Procedure

Academic Staff Posting and Advertising Procedure

Acting and Interim Senior Administration Appointment Procedure

Department Chairs Review Procedure

Department Chairs Selection Procedure

Department Chairs Selection Procedure (Appendix B): Terms and Conditions for Department Chairs

Determination of a Worker's Status Procedure

Faculty Deans Review Procedure

Faculty Deans Selection Procedure

Faculty Deans Selection Procedure Appendix A: Dean Selection Committees for Individual Faculties

Housing Support Procedure

Moving Expenses and Relocation Benefits for Academic Staff Members Procedure

Presidential Review Procedure

Presidential Search Procedure

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

Recruitment Policy (Appendix A) *Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff*

Recruitment Policy (Appendix B) Definition and Categories of Support Staff

Selection of Department Chairs Procedure (Appendix A): Roles and Responsibilities

Support Staff Posting and Advertising Procedure

Support Staff Selection Procedure

Vice-Presidential Review Procedure

Vice-Presidential Search Procedure

Vice-Presidential Search and Review Procedures Appendix A: Committees for Vice-Presidents Position Definitions and Eligibility

Approval Date: December 11, 2009

Most Recent Editorial Date: May 21, 2014

Parent Policy: Recruitment Policy

Vice-Presidential Search Procedure

Office of Administrative Responsibility: Office of the President

Approver: Board of Governors

Scope: Compliance with this University policy extends to all academic, support and excluded staff, postdoctoral fellows, and academic colleagues as outlined and defined in the Recruitment Policy (Appendix A and Appendix B: Definitions and Categories).

Overview

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

Purpose

The purpose of this procedure is to

- establish a Vice-President ("VP") Advisory Search Committee ("Committee") and set out the composition of the Committee
- outline the election procedures for the academic staff members to the Committee
- provide information about the general Vice-President search process
- outline measures for management of **conflict**
- describe how the recommendations to the President and the Board are made and considered.

PROCEDURE

1. VP ADVISORY SEARCH COMMITTEES

a. A Committee for the relevant vice-presidential position shall be established. The rules governing the composition of committees for the following positions are set out in Vice-Presidential Search and Review Procedures Appendix A: Committees for Vice-Presidents Position Definitions and Eligibility.

- i. Provost and Vice-President (Academic).

- ii. Vice-President (University Relations)
- iii. Vice-President (Finance and Administration)
- iv. Vice-President (Facilities and Operations)
- v. Vice-President (Research and Innovation)
- vi. Vice-President (Advancement)

b. The Office of the President is responsible for:

- drawing together the Committee
- to the extent possible, ensuring that Committee members reflect broad demographic and diversity, inclusive of persons historically under-represented
- where necessary, appointing an additional member in consultation with the comprised Committee to ensure diversity (see the *Vice-Presidential Search and Review Procedures Appendix A*)
- ensuring that the Committee positions are properly replenished
- making Committee members aware of their obligations under applicable University policy, **the University's Employment Equity Statement** and the *Discrimination, Harassment and Duty to Accommodate Policy*, and the *EDI Strategic Plan* all as may be amended from time to time
- providing Committee members with applicable resources, including but not limited to training offered by the *Disclosure*, Assurance and Institutional Research and Human Resource Services (HRS). Committee members are responsible for awareness of equity, anti-discrimination and bias, and knowledge of relevant policies and procedures.

c. Committee members are responsible for familiarizing themselves with

- the principles of equity, diversity and inclusivity
- concepts of bias awareness, and discrimination
- the obligations under applicable University policies and statements, in particular, the *Discrimination, Harassment and Duty to Accommodate Policy*, the *University's Employment Equity Statement* and the *EDI Strategic Plan* all as may be amended from time to time.
- Members shall abide by the Statement of Ethical Conduct, in particular, with respect to management of conflict -throughout the process.

2. ELECTION PROCEDURES FOR VICE PRESIDENT ADVISORY SEARCH COMMITTEE

b. ELECTION OF NOMINEES

- i. Elections will be managed by the GFC Secretary (or their delegate) using a process that is fair and transparent.
- ii. Committee composition is set out in the Vice-Presidential Search and Review Procedures Appendix A.

c. ELECTORATE

The electorate consists of the elected faculty representatives who sit on GFC on a “representation by population” basis and the appointed Academic Staff representatives.

3. VICE PRESIDENT SEARCH PROCESS

1. Conflict of Interest

- a) All Committee members should consider potential conflicts of interest. Members will be asked to complete conflict of interest declarations, and any identified real or perceived conflicts of interest must be managed in accordance with the University's *Conflict Policy* and its associated procedures.
- b) Conflicts will be reviewed throughout the process as situations may arise that are related to the applicant pool.
- c) Where a conflict can be managed, the chair shall be notified and the management of it shall be approved by the President, in consultation with Faculty Relations.
- d) Where a conflict cannot be managed to the satisfaction of the chair and President, the nominee may be disqualified and replaced through 2(a) as defined above.

2. Consultant

- a) The President may retain a search consultant and may seek advice from the Committee with respect to retaining a consultant.
- b) The consultant should demonstrate expertise in principles of equity, diversity and inclusivity and same should be reflected in their own organization. The requirement for this expertise should be included in the advertisement.
- c) The consultant will agree to conduct their search with goals of attracting the best-qualified candidates and achieving an equitable, diverse and inclusive community of senior administrators.

2. Advertisement

- a) Any advertisement for a Vice-President position will:
 - i. describe the required qualifications, skills, abilities, competencies and credentials in an objective, equitable and inclusive way
 - ii. follow the spirit of the requirements set out in the Academic Staff Posting and Advertising Procedure
 - iii. appear simultaneously or later than postings on University of Alberta Careers website.
- b) Efforts should be made to advertise in media accessed by persons historically under-represented at the University.
- b)c) The advertisement will normally include a deadline or target date for receipt of applications/nominations and may note that a search may continue past a deadline, until the position is filled.

3. Input from the Community

a. The University community will be canvassed for their views on:

- The characteristics desirable in the Vice-President being selected
- The skills, competencies, experiences, and credentials
- The priorities of that vice-presidential portfolio;
- Current issues and future directions of the portfolio
- Leadership qualities; and
- The demographic diversity of the senior administrative team.

b. Input from the University community will include a position description and/or position profile and will normally be sought through targeted methods to bring the search to the attention of all **employees** and

students.

c. The Committee may also wish to seek input from external communities and to the extent possible, from persons historically under-represented at the University.

d. The Committee shall seek input specifically from groups not represented among Committee membership. Committee members may bring perspectives from their constituencies.

4. Confidentiality

a. Each Committee may identify certain aspects of their discussions as appropriate for public discussion; however, discussion of candidates is confidential.

5. Considerations

a. At its pre-interview meetings, the Committee will normally consider the following:

i. principles of equity, diversity and inclusion and the University's mission set out in its EDI Strategic Plan, as may be amended from time to time

ii. Confidentiality

ii. Handling records and FOIPP-related issues

iii. Procedural matters and Terms of Reference

iv. Attendance

v. The advertisement, position description and profile

vi. Key issues related to the portfolio;

vii. All resumes and applications, with advice on who should be interviewed;

viii. Input from the community and portfolio staff, especially from groups not represented in the Committee;

ix. Interview process (including fulfilling the University's Duty to Accommodate Procedure), and questions.

x. The need to manage conflict of interest throughout the process.

b. The Committee will establish the required qualifications, skills, abilities, competencies and credentials for the Vice President position in an objective, equitable and inclusive way.

c. The Committee should have regard to inclusive and explicit criteria for the Vice President position in reviewing and evaluating applications.

b-d. The President should:

- ensure the Committee documents practices for ensuring the fair and equitable assessment of candidates
- employs fair, equitable and inclusive indicators for determining the best-qualified candidate
- ensure that Committee evaluations are supported by evidence and that each candidate's strengths and weaknesses are evaluated fairly and consistently.

e-e. All candidates selected for an interview should be provided with a common set of instructions, including relevant expectations, protocols, and evaluation criteria.

- d.f. Where the candidate is from outside the University and is also seeking an academic staff appointment, the Committee shall request that the relevant Academic Staff advisory selection committee make the recommendation in relation to the academic staff appointment.
- g. At each stage of the process, the Committee members should be allocated sufficient time to consider all materials, information, and candidates in a fair and equitable manner.
- h. The Committee shall explicitly address any career path choices or interruptions as they might affect the assessment of the candidate.
- i. The Committee should ensure, to the extent possible, that the pool of shortlisted candidates reflects or exceeds the demographic diversity of the University, inclusive of persons historically under-represented at the University. Specifically, the pool should be inclusive of persons historically under-represented in the position of Vice-President.
- j. Where candidates are determined to be similarly qualified for a position, the final hiring decision will favour achieving diversity in the workplace and correcting employment disadvantages experienced by persons historically under-represented at the University.

4. RECOMMENDATIONS TO THE PRESIDENT AND THE BOARD

- a. Following interviews, the Committee will recommend one or more candidates to the President. The President will choose one candidate from among the names recommended by the Committee. If none of the candidates are acceptable to the President, the President will return the matter to the Committee.
- b. The President, after consultation with the Board Chair and Chair of the Board Human Resources and Compensation Committee (BHRCC), will make a recommendation with respect to the compensation and benefits of the appointment.
- c. The President will inform the Board Chair of the name of their selected candidate. The Board Chair, the Chair of BHRCC and the President will then determine whether the candidate's compensation and benefits expectations fall within Board guidelines.
- d. The President will present their candidate to the BHRCC which, in turn, will make a recommendation to the Board of Governors. BHRCC will also consider and approve the compensation and benefits for the recommended candidate, subject to approval of the candidate's appointment by the Board of Governors.
- e. The Board of Governors has the authority to accept or reject the recommended candidate. If the Board rejects the candidate the matter is returned to the President.

DEFINITIONS

Any definitions listed in the following table apply to this document only with no implied or intended institution-wide use. Refer to Recruitment Policy (Appendix A and Appendix B) for definitions of Staff.

Equity/Equitable In the context of this policy, equity is about fair access to employment and the opportunity to succeed in this domain. Employment equity principles, policies, and practices promote [or facilitate] access, representation, opportunities, and meaningful participation of persons historically under-represented.

Diversity In the context of this policy, diversity refers to the demographic and identity difference and variety within the University's workforce, including that based on the protected grounds. More broadly, within the University, diversity also encompasses difference or variety in education, ideas, perspectives, opinions, heuristics, disciplines, methodologies, epistemologies, faculties, skills, and learning opportunities.

Inclusion/Inclusivity In the context of this policy, inclusion is a principle and practice that values and cultivates the full and meaningful participation and representation of persons historically under-represented in the University's workforce.

Employee(s) A person employed by the University and defined under *Recruitment Policy (Appendix A) Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff* or *Recruitment Policy (Appendix B) Definition and Categories of Support Staff*.

Persons historically under-represented Women, Indigenous persons (First Nations, Métis, Inuit), members of visible minority groups, persons with disabilities, persons who identify with under-represented sexual orientations, gender identity or expression.

Protected Grounds Refers to those grounds set out and defined in the *Alberta Human Rights Act* and in the University's *Discrimination, Harassment and Duty to Accommodate Policy (UAPPOL)* which are: race, religious beliefs, colour, gender, gender identity, gender expression, physical disability, mental disability, age, ancestry, place of origin, marital status, source of income, family status, sexual orientations or political beliefs.

University Employment Equity Statement "The University of Alberta is committed to an equitable, diverse, and inclusive workforce. We welcome applications from all qualified persons. We encourage women; First Nations, Métis and Inuit; members of visible minority groups; persons with disabilities; persons of any sexual orientations or gender identity and expression; and all those who may contribute to the further diversification of ideas and the University to apply."

Conflict Conflict of interest, conflict of commitment, or institutional conflict as defined in the University of Alberta Conflict Policy – Conflict of Interest and Commitment and Institutional Conflict Policy

FORMS

There are no forms for this Procedure.

RELATED LINKS

Should a link fail, please contact uappol@ualberta.ca.

Recruitment Policy (Appendix A) Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff (UAPPOL)

Vice-Presidential Search and Review Procedures Appendix A: Committees for Vice-Presidents Position Definitions and Eligibility (UAPPOL)

Equity, Diversity, and Inclusion: Best Practices in Faculty Recruitment and Hiring

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

Approval Date: December 11, 2009

Most Recent Editorial Date: May 21, 2014

Parent Policy: Recruitment Policy

Vice-Presidential Review Procedure

Office of Administrative Responsibility: Office of the President

Approver: Board of Governors

Scope:

Compliance with this University policy extends to all academic, support and excluded staff, postdoctoral fellows, and academic colleagues as outlined and defined in the Recruitment Policy (Appendix A and Appendix B: Definitions and Categories).

Overview

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

Purpose

The purpose of this procedure is to

- establish a Vice President (“VP”) Advisory Review Committee (“Committee”) and set out the composition of the Committee
- outline the election procedures for the academic staff members to the Committee
- outline the general Vice President review process
- outline measures for management of **conflict**
- describe how the recommendations to the President and the Board are made and considered.

PROCEDURE

1. REQUEST FOR REVIEW

- a. The Vice-President shall advise the President of their request for consideration of renewal for an additional term. This request shall be received by the President not less than 12 months prior

to the end of the incumbent Vice-President's term. Exceptions may be granted at the discretion of the President.

b. Upon such request the President shall establish a Committee in accordance with the following procedures.

2. COMPOSITION OF VP ADVISORY REVIEW COMMITTEES

a. The rules governing the composition of Committees for the following positions are set out in Vice-Presidential Search and Review Procedures Appendix A: Committees for Vice-Presidents Position Definitions and Eligibility.

- i. Provost and Vice-President (Academic).
- ii. Vice-President (University Relations)
- iii. Vice-President (Finance and Administration)
- iv. Vice-President (Facilities and Operations)
- v. Vice-President (Research and Innovation)
- vi. Vice-President (Advancement)

b. The Office of the President is responsible for:

- i. drawing together the Committee
- ii. to the extent possible, ensuring that Committee members reflect broad demographic and diversity, inclusive of persons historically under-represented
- iii. where necessary, appointing an additional member in consultation with the comprised Committee to ensure diversity (see the *Vice-Presidential Search and Review Procedures Appendix A*)
- iv. making Committee members aware of their obligations under applicable University policy, in particular, the *Discrimination, Harassment and Duty to Accommodate Policy*, and the EDI Strategic Plan all as may be amended from time to time
- v. providing Committee members with applicable resources, including but not limited to training offered by the Disclosure, Assurance and Institutional Research and Human Resource Services (HRS). Committee members are responsible for awareness of equity, anti-discrimination and bias, and knowledge of relevant policies and procedures.

c. Committee members are responsible for familiarizing themselves with

- the principles of equity, diversity and inclusivity
- concepts of bias awareness, and discrimination
- the obligations under applicable University policies and statements, in particular, the *Discrimination, Harassment and Duty to Accommodate Policy*, the University's *Employment Equity Statement* and the EDI Strategic Plan all as may be amended from time to time.
- Members shall abide by the Statement of Ethical Conduct, in particular, with respect to management of conflict throughout the process.

d. The incumbent shall be given an opportunity to review the proposed Committee composition and shall be able to signal and potential conflicts of interest.

3. ELECTION PROCEDURES FOR MEMBERS OF ADVISORY REVIEW COMMITTEE

b. ELECTION OF NOMINEES

- i. Elections will be managed by the GFC Secretary (or their delegate) using a process that is fair and transparent.
- ii. Committee composition is set out in the Vice-Presidential Search and the GFC Secretary will manage Review Procedures Appendix A.

c. ELECTORATE

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

3. VICE PRESIDENT REVIEW PROCESS

a. Conflict of Interest

- i. All Committee members must consider potential conflicts of interest. Members will be asked to complete conflict of interest declarations, and any identified real or perceived conflicts of interest must be managed in accordance with the University’s Conflict Policy and its associated procedures.
- ii. Conflicts will be reviewed throughout the process as situations may arise that are related to the applicant pool.
- iii. Where a conflict can be managed, the President shall be notified and the management of it shall be approved by the President, in consultation with Faculty Relations.
- iv. Where a conflict cannot be managed to the satisfaction of the President, the nominee may be disqualified and replaced through 2(b)(iv) as defined above.

b. Input from the Community

- i. The University community will be canvassed for their views on:
 - the characteristics desirable in the Vice-President being reviewed,
 - the priorities of that vice-presidential portfolio;
 - current issues and future directions of the portfolio; and
 - leadership qualities.
 - consideration of equity and the demographic diversity of the senior administrative team.
- ii. Input from the University community will normally be sought through targeted methods to bring the review to the attention of all academic staff, non-academic staff, and students. Staff in the current portfolio will also be asked for their input. When input from the internal community is sought, a position description and/or a position profile will be included.

c. The Committee may also wish to seek input from external communities.

d. Confidentiality – Each Committee may identify certain aspects of their discussions as appropriate for public discussion.

e. The Committee shall seek input specifically from groups not represented among committee membership. Committee members may bring perspectives from their constituencies.

f. The President should

- ensure the Committee documents practices for ensuring the fair and equitable assessment of the incumbent

- ensure that Committee evaluations are supported by evidence and that the incumbent's strengths and weaknesses are evaluated fairly and consistently.

4. RECOMMENDATIONS TO THE PRESIDENT AND THE BOARD

- a. The Committee will advise the President as to whether it recommends the incumbent nominee. If a positive recommendation is made by the Committee, the President will communicate this to the Board Chair.
- b. The President, after consultation with the Board Chair and Chair of the Board Human Resources and Compensation Committee (BHRCC), will make a recommendation regarding compensation and benefits with respect to the appointment.
- c. The Board Chair, the Chair of BHRCC, and the President will then determine whether the nominee's compensation and benefits expectations fall within the Board guidelines.
- d. If the nominee, the President, the Board Chair and the Chair of BHRCC agree, the President presents his or her nominee to BHRCC who makes a recommendation to the Board of Governors. BHRCC also considers and approves the compensation and benefits, subject to approval of the reappointment by the Board of Governors.
- e. The Board has the authority to accept or reject the recommended incumbent. If the Board rejects the incumbent the matter is returned to the President.

DEFINITIONS

Any definitions listed in the following table apply to this document only with no implied or intended institution-wide use. Staff Category A1.0 Refer to Recruitment Policy (Appendix A) for definitions of Staff.

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Employee(s) A person employed by the University and defined under *Recruitment Policy (Appendix A) Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff or Recruitment Policy (Appendix B) Definition and Categories of Support Staff.*

Persons historically under-represented Women, Indigenous persons (First Nations, Métis, Inuit), members of visible minority groups, persons with disabilities, persons who identify with under-represented sexual orientations, gender identity or expression.

Senior Administrators President, Vice-Presidents, Deputy Provost, Associate Vice-Presidents, Vice-Provosts, Deans, Directors and Chairs.

Protected Grounds Refers to those grounds set out and defined in the *Alberta Human Rights Act* and in the University's *Discrimination, Harassment and Duty to Accommodate Policy* (UAPPOL) which are: race, religious beliefs, colour, gender, gender identity, gender expression, physical disability, mental

disability, age, ancestry, place of origin, marital status, source of income, family status, sexual orientations or political beliefs.

University Employment Equity Statement “The University of Alberta is committed to an equitable, diverse, and inclusive workforce. We welcome applications from all qualified persons. We encourage women; First Nations, Métis and Inuit; members of visible minority groups; persons with disabilities; persons of any sexual orientations or gender identity and expression; and all those who may contribute to the further diversification of ideas and the University to apply.”

Conflict Conflict of interest, conflict of commitment, or institutional conflict as defined in the University of Alberta Conflict Policy – Conflict of Interest and Commitment and Institutional Conflict Policy

RELATED LINKS

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

Recruitment Policy (Appendix A) *Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff* (UAPPOL)

Vice-Presidential Search and Review Procedures Appendix A: Committees for Vice-Presidents Position Definitions and Eligibility (UAPPOL)

Equity, Diversity, and Inclusion: Best Practices in Faculty Recruitment and Hiring

Conflict Policy – Conflict of Interest, Commitment, and Institutional Conflict (University of Alberta)

Approval Date: December 11, 2009

Most Recent Editorial Date: January 6, 2014

Parent Policy: Recruitment Policy

This document is an appendix to its parent document. Questions regarding this document should be addressed to the Office of Administrative Responsibility.

Vice-Presidential Search and Review Procedures Appendix A: Committees for Vice-Presidents Position Definitions and Eligibility

Office of Administrative Responsibility: Office of the President

Approver: Board Human Resources and Compensation Committee

COMPOSITION OF ADVISORY SEARCH AND REVIEW COMMITTEES FOR VICE- PRESIDENTS:

All employees described in Category A1.0 and D1.2 of the *Recruitment Policy (Appendix A) Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff* ("Academic Staff") who do not currently hold an administrative position (of Associate or Assistant Dean or Department Chair, and from amongst MAPS) are eligible to serve as members of the VP Advisory Search Committee.

In the event the Committee does not sufficiently reflect the demographic diversity of the University, an additional Committee member may be appointed by the President in consultation with the comprised Committee.

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

1. PROVOST AND VICE-PRESIDENT (ACADEMIC)

- a) President as Chair of the Committee
- b) One member of the Board of Governors appointed by the Board
- c) Two Academic Staff Members elected by the faculty and the appointed academic staff representatives on GFC.
- d) One (1) member of Statutory Deans' Council including appointed (D1.1) members
- e) One member of the AASUA appointed by the AASUA
Two members of the Students' Union appointed by the Students' Council
- f) One member of the Graduate Students' Association appointed by the GSA
- g) One member of the Non-Academic Staff Association appointed by NASA

For a list of staff who are not eligible to serve on the advisory search and review committees for Vice-Presidents, please see Section 8.

Total: Ten (10) members

2. VICE-PRESIDENT (UNIVERSITY RELATIONS)

- a) President as Chair of the Committee
- b) Provost and Vice-President (Academic)
- c) One member of the Board of Governors appointed by the Board
- d) One member of the Senate appointed by the Senate
- e) President of the Alumni Association
- f) One Academic Staff member, elected by the faculty and the appointed academic staff representatives on GFC.
- g) Two (2) members of Statutory Dean's Council including appointed (D1.1) members, one of whom must be a Dean
- h) One member of the Students' Union appointed by the Students' Council
- i) One member of the Graduate Students' Association appointed by the GSA

For a list of staff who are not eligible to serve on the advisory search and review committees for Vice-Presidents, please see Section 8

Total: Ten (10) members

3. VICE-PRESIDENT (FINANCE AND ADMINISTRATION)

- a) President as Chair of the Committee
- b) Provost and Vice-President (Academic)
- c) One member of the Board of Governors appointed by the Board
- d) Two Academic Staff members elected by the faculty and the appointed academic staff representatives on GFC.
- e) Two (2) members of Statutory Dean's Council including appointed (D1.1) members, one of whom must be a Dean
- f) One member of the Students' Union appointed by the Students' Council
- g) One member of the Graduate Students' Association appointed by the GSA

For a list of staff who are not eligible to serve on the advisory search and review committees for Vice-Presidents, please see Section 8.

Total: Nine (9) members

4. VICE-PRESIDENT (FACILITIES AND OPERATIONS)

- a) President as Chair of the Committee
- b) Provost and Vice-President (Academic)
- c) One members of the Board of Governors appointed by the Board
- d) Two Academic Staff members, elected by the faculty and the appointed academic staff representatives on GFC
- e) Two (2) members of Statutory Dean's Council including appointed (D1.1) members, one of whom must be a Dean
- f) One member of the Students' Union appointed by the Students' Council
- g) One member of the Graduate Students' Association appointed by the GSA
- h) One external representative, with expertise in the area of facilities and/or operations, appointed by the Board in consultation with the President.

For a list of staff who are not eligible to serve on the advisory search and review committees for Vice-Presidents, please see Section 8.

Total: Ten (10) members

5. VICE-PRESIDENT (RESEARCH AND INNOVATION)

- a) President as Chair of the Committee
- b) Provost and Vice-President (Academic)
- c) One member of the Board of Governors as appointed by the Board
- d) One Academic Staff member, elected by the faculty and the appointed academic staff representatives on GFC.
- e) Two (2) members of Statutory Dean's Council including appointed (D1.1) members, one of whom must be a Dean
- f) One member of the AASUA appointed by the AASUA
One member of the Students' Union as appointed by the Students' Council
- g) Two members of the Graduate Students' Association appointed by the GSA
- h) One member of the Non-Academic Staff Association appointed by NASA

For a list of staff who are not eligible to serve on the advisory search and review committees for Vice-Presidents, please see Section 8.

Total: Eleven (11) members

6. VICE-PRESIDENT (ADVANCEMENT)

- a) President as Chair of the Committee
- b) Provost and Vice-President (Academic)
- c) One member of the Board of Governors appointed by the Board
- d) One member of the Senate appointed by the Senate
- e) President of the Alumni Association
- f) One Academic Staff member, elected by the faculty and the appointed academic staff representatives on GFC.
- g) Two (2) members of Statutory Dean's Council including appointed (D1.1) members, one of whom must be a Dean
- ~~g~~h) One member of the Students' Union appointed by the Students' Council
- ~~h~~i) One member of the Graduate Students' Association appointed by the GSA

For a list of staff who are not eligible to serve on the advisory search and review committees for Vice-Presidents, please see Section 8.

Total: Ten (10) members

7. Once members have been elected to any of the above Committees, the President may in consultation with the Board Chair or Chair of the Board of Human Resources and Compensation Committee (BHRCC) name up to two additional Academic Staff members to the Committee to ensure broad representation from the University. In those instances where the Committee is not broadly representative of the university community, an additional Committee member may be added by the President in consultation with the comprised Committee.

8. STAFF WHO ARE NOT ELIGIBLE TO SERVE ON ADVISORY AND REVIEW COMMITTEES FOR VICE-PRESIDENTS

Staff who are on leave are not eligible to serve on Committees for Vice-Presidents. The term leave includes: administrative leave, sabbatical, political, medical, parental, childbirth, disability, assisted, secondment.

Staff who hold the administrative positions of Vice-Dean, Associate or Assistant Dean or Department Chair at the time of the initial nomination are not eligible to serve. Other Staff who hold administrative positions may not be eligible to serve. Please refer to *Conflict of Interest and Commitment and Institutional Conflict Policy*.

All nominees shall complete conflict of interest declarations, and any identified real or perceived conflicts of interest must be managed in accordance with relevant university policies. Methods for the management of conflicts of interest shall be approved by the Faculty Relations.

Original Approval Date: May 3, 2011 Most Recent Approval Date: April 11, 2016

Most Recent Editorial Date: December 13, 2013

Parent Policy: Recruitment Policy

Faculty Deans Selection Procedure

Office of Administrative Responsibility: Office of the Provost and Vice-President (Academic)

Approver: General Faculties Council Executive Committee

Scope:

Compliance with this University policy extends to all academic, support and excluded staff, postdoctoral fellows, and academic colleagues as outlined and defined in the Recruitment Policy (Appendix A and Appendix B: Definitions and Categories).

Overview

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

With respect to the procedures for the selection of Faculty Deans, the Board and GFC delegate their approval authority to the GFC Executive Committee for all matters of a routine editorial nature. For matters of a substantive nature, the GFC Executive Committee shall recommend to the Board Human Resources and Compensation Committee (BHRCC). The Provost and Vice-President (Academic) will determine what is of a routine/editorial or substantive nature.

Purpose

The purpose of this procedure is to

- provide a general outline of the Faculty Dean selection process
- describe the composition of the Dean Selection Committee, how potential conflicts of interest are addressed and the requirements for quorum
- set out the Committee’s Dean selection procedures
- outline measures to manage **conflict**
- describe the Dean appointment process.

PROCEDURE

1. GENERAL OUTLINE OF FACULTY DEAN SELECTION PROCESS

- a. By virtue of the Post-Secondary Learning Act (section 21(1), 83 and 84(1)), the appointment of a Dean is made by the Board of Governors who has delegated their authority to the Board Human Resources Compensation Committee (BHRCC) in accordance with procedures approved by General Faculties Council.
- b. These procedures declare that such appointments shall be made by the Board on the recommendation of the President. The President's recommendation is based on the recommendation of the Committee. The Provost and Vice-President (Academic) is required to present the Committee's selection to the President. The President has the authority to accept or reject the committee's recommendation. If the President accepts, they recommend the appointment to the Board of Governors through BHRCC. If the President does not accept the committee's recommendation, they will meet with the committee to explain this decision.
- c. The process of selection at the end of a term is initiated by the Provost and Vice-President (Academic) for Deans at least nine (9) months prior to the end of the incumbent's term.

FACULTY DEAN SELECTION COMMITTEE

1. Committee and its composition
 - a. All selections shall be carried out by a duly constituted Faculty Dean Selection Committee ("Committee").
 - b. The composition of Committees varies by Faculty. Changes to the composition of individual Faculties' selection committees may be initiated by the Faculty or by the Provost but must be approved by their respective Faculty Councils.
 - c. Overall, the Committee composition should, to the extent possible, be considerate of relevant diversity-related issues. Specifically, Committees should be inclusive of persons historically under-represented relative to the pool of deans.
 - ~~e.d.~~ Committee members designated by the President, Provost or Vice-President (Research and Innovation), should, to the extent possible, ensure the Committee is inclusive of persons historically under-represented relative to the discipline, field, and pool of deans.
 - ~~d.e.~~ Once the Committee has been established, with all members elected or designated, the Provost will consult with the President on the composition of the Committee. The President may, in consultation with the Chair or Vice-Chair of the GFC Nominating Committee, name up to two additional members to the Committee to ensure broad representation and, to the extent possible, address relevant diversity-related issues.
 - ~~e.f.~~ Requirements or elements common to the Committees across all Faculties include the following,
 - Provost and Vice-President (Academic), or designee, chairs the Committee.
 - Vice-President (Research & Innovation), or designee, vice-chair.
 - Vice-Provost and Dean of the Faculty of Graduate Studies and Research, or designee
 - Academic Faculty Members
 - Undergraduate and Graduate Students
 - Support Staff, and/or Management and Professional Staff (MAPS)
 - Representation from General Faculties Council.

- f.g. The Provost shall establish guidelines for Committees. A Committee is charged with obtaining the best-qualified person available for the position and contributing to the University's goal of achieving an equitable, diverse and inclusive community of senior administrators.
- g.h. The Provost as chair of the Committee is responsible for:
- making Committee members aware of their obligations under applicable University policy, in particular, the *Discrimination, Harassment and Duty to Accommodate Policy*, the University's *Employment Equity Statement* and the EDI Strategic Plan all as may be amended from time to time and documenting and confirming these efforts
 - providing Committee members with applicable resources, including but not limited to, training offered by the Disclosure, Assurance and Institutional Research and Human Resource Services (HRS).
 - ensure the Committee documents practices for ensuring the fair and equitable assessment of candidates
 - hold the Committee to account to employ fair, equitable and inclusive indicators for determining the best-qualified candidate
 - ensure that Committee evaluations are supported by evidence and that each candidate's strengths and weaknesses are evaluated fairly and consistently.
- h.i. Committee members are responsible for familiarizing themselves with the principles of equity, diversity and inclusivity, concepts of bias awareness and discrimination, the obligations under applicable University policies, in particular, the *Discrimination, Harassment and Duty to Accommodate Policy*, the University's *Employment Equity Statement* and the EDI Strategic Plan all as may be amended from time to time.
2. All members shall abide by the Statement of Ethical Conduct, in particular, with respect to management of **conflict** throughout the process. Conflict of Interest
- a. All Committee members must consider potential conflicts of interest. Members will be asked to complete conflict of interest declarations, and any identified real or perceived conflicts of interest must be managed in accordance with the University's Conflict Policy and its associated procedures.
 - b. Conflicts will be reviewed throughout the process as situations may arise that are related to the applicant pool.
 - c. Where a conflict can be managed, the Chair shall be notified and the management of it shall be approved by the President, in consultation with Faculty Relations.
 - d. Where a conflict cannot be managed to the satisfaction of the Chair and President, the nominee may be disqualified and replaced through 1(f) as defined above.
 - e. Notwithstanding the above, an incumbent shall not be eligible to vote in the election of Committee members.
 - f. In no instance shall the membership of a Committee include:
 - (1) a current candidate for the office
 - (2) the outgoing Dean
 - (3) any person with an apparent conflict of interest as determined by the Provost.
3. Quorum
- a. At any meeting of a Committee for Dean where a final decision is made, at least one (1) of the two (2) Vice-Presidential members must be present, the Provost or Vice-President (Research and Innovation), and no more than two (2) of the other members shall be absent.
 - b. To participate in a final decision and ensure fairness, Committee members must have been present at all sessions where all candidates were considered.

DEAN SELECTION PROCEDURES

1. General Case

Soliciting applicants

- a. The Committee shall invite suggestions concerning possible candidates from the members of the Faculty concerned and encourage the nomination of persons historically under-represented at the University and Faculty.
- b. In addition to accepting applications from qualified candidates a Committee may actively solicit applications from apparently qualified persons including persons historically under-represented at the University.
- c. The committee is responsible to ensure, to the extent possible, that the applicant pool reflects and exceeds the demographic diversity of the University inclusive of persons historically under-represented and may continue the solicitation of applications and extend any applicable deadline for submitting applications for this purpose.

Advertisement

- d. All vacancies must be advertised within the University, in accordance with the University's *Academic Staff Posting and Advertising Procedure*.
- e. Advertisements will appear simultaneously or later than postings on the University of Alberta Careers website.
- f. If a vacancy may be filled by an appointee from outside the University, then the vacancy must be advertised widely outside the University, including in media accessed by persons historically under-represented at the University.

Evaluation of qualifications and selection of candidate

- g. The Committee may consult with the incumbent Dean of the Faculty and/or other source in the subject Faculty where it requires additional information concerning the duties, functions, responsibilities, authorities, *et cetera* of the Dean position in question.
- h. The Committee will establish the required qualifications, skills, abilities, competencies and credentials for the Dean position in an objective, equitable and inclusive way.
- i. The Committee should have regard to inclusive and explicit criteria for the Dean position in reviewing and evaluating applications.
- j. The Committee chair should:
 - Ensure the Committee documents practices for ensuring the fair and equitable assessment of candidates
 - Employs fair, equitable and inclusive indicators for determining the best-qualified candidate
 - Ensure that Committee evaluations are supported by evidence and that each candidate's strengths and weaknesses are evaluated fairly and consistently.
- ~~h.~~k. All candidates selected for an interview should be provided with a common set of instructions, including relevant expectations, protocols, and evaluation criteria.
- ~~i.~~l. The Committee will fulfil the university's duty to accommodate by giving candidates the opportunity to ask for reasonable accommodation during the application and interview process.
- ~~j.~~m. Where the candidate is from outside the University, the Committee shall also serve as the Faculty Selection Advisory Committee in relation to the academic staff appointment.
- ~~k.~~n. If the incumbent is a candidate, past performance must be considered by the Committee.

- o. The committee shall explicitly address any career path choices or interruptions as they might affect the assessment of the candidate.
- p. At each stage of the selection process the Committee members should be allocated enough time to consider all materials, information, and candidates in a fair and equitable manner.
- q. The Committee should ensure, to the extent possible, that the pool of shortlisted candidates reflects or exceeds the demographic diversity of the University. Specifically, the candidate pool should be inclusive of persons historically under-represented relative to the pool of deans.
- r. Where candidates are determined to be similarly qualified for the Dean position, the final selection/recommendation decision will favour achieving diversity in the workplace and correcting employment disadvantages experienced by persons historically under-represented at the University.
- s. When the Committee has reached a decision on the candidate, the Provost is required to present the Committee's selection to the President.

2. Special Cases for Selection Procedures

Engineering Deans

- a. The Committee shall recommend (1) candidate as the proposed Dean. The Academic Staff members of the Faculty shall, by a simple majority vote, indicate acceptance or rejection of the committee's recommendation. The ballot paper shall read:

I accept the Committee's recommendation for Dean

I reject the Committee's recommendation for Dean
- b. In the event of rejection, the Committee shall recommend another candidate.
- c. The vote, by secret ballot, shall be conducted by the selection committee in accordance with the procedures laid down by the Faculty of Engineering.
- d. The Chair of the Committee, shall make the vote known to the successful candidate, including abstentions

DEAN APPOINTMENT PROCESS

- a. If the conditions of employment and criteria for future evaluation of the person selected differ from statutory duties or standard expectations, these must be specified fully at the time of appointment.
- b. Acceptance of an appointment is taken as indicating acceptance of the procedures and criteria to be used at the end of the term. The letter of appointment is binding on both the Board and the person being appointed.
- c. The term of office shall not exceed five (5) years. The letter of appointment must specify whether reappointment is to be by Selection or Review as set out in the Dean's Review Procedure.

DEFINITIONS

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

Equity/Equitable In the context of this policy, equity is about fair access to employment and the

opportunity to succeed in this domain. Employment equity principles, policies, and practices promote [or facilitate] access, representation, opportunities, and meaningful participation of persons historically under-represented.

Diversity In the context of this policy, diversity refers to the demographic and identity difference and variety within the University's workforce, including that based on the protected grounds. More broadly, within the University, diversity also encompasses difference or variety in education, ideas, perspectives, opinions, heuristics, disciplines, methodologies, epistemologies, faculties, skills, and learning opportunities.

Inclusion/Inclusivity In the context of this policy, inclusion is a principle and practice that values and cultivates the full and meaningful participation and representation of persons historically under-represented in the University's workforce.

Employee(s) A person employed by the University and defined under *Recruitment Policy (Appendix A) Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff* or *Recruitment Policy (Appendix B) Definition and Categories of Support Staff*.

Persons historically under-represented Women, Indigenous persons (First Nations, Métis, Inuit), members of visible minority groups, persons with disabilities, persons who identify with under-represented sexual orientations, gender identity or expression.

Senior Administrators President, Vice-Presidents, Deputy Provost, Associate Vice-Presidents, Vice-Provosts, Deans, Directors and Chairs.

Protected Grounds Refers to those grounds set out and defined in the *Alberta Human Rights Act* and in the University's *Discrimination, Harassment and Duty to Accommodate Policy (UAPPOL)* which are: race, religious beliefs, colour, gender, gender identity, gender expression, physical disability, mental disability, age, ancestry, place of origin, marital status, source of income, family status, sexual orientations or political beliefs.

Faculty Member "Faculty Member" means a full-time Academic Faculty member (from Category A1.1 or A1.6) who is employed at the University under the terms and conditions of the Board/AASUA Collective Agreement, Schedule A– Academic Faculty Members.

University Employment Equity Statement "The University of Alberta is committed to an equitable, diverse, and inclusive workforce. We welcome applications from all qualified persons. We encourage women; First Nations, Métis and Inuit; members of visible minority groups; persons with disabilities; persons of any sexual orientations or gender identity and expression; and all those who may contribute to the further diversification of ideas and the University to apply."

Conflict Conflict of interest, conflict of commitment, or institutional conflict as defined in the University of Alberta Conflict Policy – Conflict of Interest and Commitment and Institutional Conflict Policy

RELATED LINKS

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[Access to Information and Protection of Privacy Policy \(UAPPOL\)](#)

[Recruitment Policy \(Appendix A\) *Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff* \(UAPPOL\)](#)

[Recruitment Policy \(Appendix B\) *Definition and Categories of Support Staff* \(UAPPOL\)](#)

[Faculty Deans Review Procedure \(UAPPOL\)](#)

[Faculty Deans Selection Procedure Appendix A *Dean Selection Committees for Individual Faculties* \(UAPPOL\)](#)

Equity, Diversity, and Inclusion: Best Practices in Faculty Recruitment and Hiring **Approval Date: February 6, 2012** **Most Recent Approval Date: June 27, 2019**

Most Recent Editorial Date: July 29, 2019

Parent Policy: Recruitment Policy

Faculty Deans Review Procedure

Office of Administrative Responsibility:	Office of the Provost and Vice-President (Academic)
Approver:	General Faculties Council Executive Committee
Scope:	Compliance with this University policy extends to all academic, support and excluded staff, postdoctoral fellows, and academic colleagues as outlined and defined in the Recruitment Policy (Appendix A and Appendix B: Definitions and Categories) and to the members of the Board of Governors.

Overview

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

By virtue of the Post-Secondary Learning Act (section 21(1), 83 and 84(1)), the appointment of a Dean is made by the Board of Governors who has delegated their authority to the Board Human Resources Compensation Committee (BHRCC) in accordance with procedures approved by General Faculties Council.

With respect to the procedures for the review and reappointment of a Faculty Dean (“Dean”), the Board and GFC delegate their approval authority to the GFC Executive Committee for all matters of a routine or editorial nature. For matters of a substantive nature, the GFC Executive Committee will recommend to the BHRCC. The Provost and Vice-President (Academic) will determine what is of a routine/editorial or substantive nature.

Purpose

A new Dean will be appointed for an initial term through the Faculty Deans Selection Procedure. Should the incumbent Dean be considered for reappointment for a subsequent term, this Faculty Deans Review Procedure will be employed.

The purpose of this procedure is to set out:

- the principles and practices that apply to review of incumbent Deans in order to ensure a fair and equitable process.
- how the Dean review and reappointment is initiated

- matters pertaining to the Dean Review Committee (the “Committee”) including its mandate, composition, and how potential **conflicts** of interest, quorum and privacy and confidentiality are managed
- the Dean review process including the review criteria, consultations, the provision of feedback to the Dean, the Faculty forum and the committee’s recommendation on reappointment
- the exceptions to this procedure
- the delegated authority for Dean appointments and with respect to the Dean review and reappointment procedures

PROCEDURE

1. INITIATION OF THE DEAN REVIEW AND REAPPOINTMENT PROCESS

A. Standard Review and Reappointment Process

The review and reappointment process is initiated by the Provost at least sixteen (16) months prior to the end of the incumbent’s term or as otherwise set out in the relevant employment agreement.

B. Review by petition process

During the incumbent Dean’s term, petitions for an out-of-cycle review can be submitted to the Provost, by petition.

- Where the petition is signed by a majority of **faculty members** in the Faculty, the Provost will initiate this review procedure. Signatories for such petitions may not include faculty members on leave.
- Where the petition is not signed by a majority of faculty members in the Faculty, the Provost, in consultation with the President, will decide whether to initiate the review and reappointment process or an alternative process, to be determined by the Provost and President.
- Where a review by petition is undertaken, the President, after considering the recommendation of the review committee or the results of the alternative process, will either decide that
 - a) the Dean will complete the term of appointment, in which case the decision is final and binding, and inform the BHRCC.
 - b) recommend to the BHRCC that the Dean’s appointment be terminated, following which the BHRCC will decide whether to terminate the appointment of the Dean before the end of their term.

Where the incumbent is endorsed to continue their normal term, if applicable, the standard Dean Review procedure will be undertaken in the ordinary course.

C. Term

A Dean will normally serve no more than two terms.

Any exception to the two-term limit will be based on a recommendation from the Provost to the President, who will make the final decision.

In instances where the President decides that a third term may be sought, the Faculty Deans Review Procedure or a Dean Selection Procedure will be implemented at the discretion of the Provost and President.

Under no circumstances will a Dean serve more than three terms.

2. THE DEAN REVIEW COMMITTEE

A. Mandate of the Dean Review Committee

The mandate of the Committee is to make recommendations to the Provost and President on the reappointment of an incumbent Dean. To fulfill this mandate, the committee is charged with reviewing the performance of an incumbent Dean, collecting feedback through broad consultation with stakeholders, and conducting an interview with the incumbent.

The Committee will be struck at least 8 months before the end of the incumbent's term.

The Provost as chair of the Committee is responsible for:

- making Committee members aware of their obligations under applicable University policies, in particular, the *Discrimination, Harassment and Duty to Accommodate Policy*, the *Conflict Policy – Conflict of Interest and Commitment and Institutional Conflict Policy*, the **University's Employment Equity Statement** and the *EDI Strategic Plan* all as may be amended from time to time and documenting and confirming these efforts
- providing Committee members with applicable resources, including but not limited to, training offered by the Disclosure, Assurance and Institutional Research and Human Resource Services (HRS).

Committee members are responsible for

- familiarizing themselves with the principles of equity, diversity and inclusivity, concepts of bias awareness and discrimination, the obligations under applicable University policies, in particular, the *Discrimination, Harassment and Duty to Accommodate Policy*, the *Conflict Policy – Conflict of Interest and Commitment and Institutional Conflict Policy*, the *University's Employment Equity Statement* and the *EDI Strategic Plan* all as may be amended from time to time.
- abiding by the *Statement of Ethical Conduct* with a particular focus on the management of conflict of interest and conflict of commitment throughout the process.

B. Composition

i. The members of the Committee are:

- Provost, or designee, (Committee Chair);
- Vice-President (Research and Innovation), or designee, Committee Vice-chair;
- Vice-Provost and Dean of the Faculty of Graduate Studies and Research, or designee;
- 2 Academic Faculty Members from the incumbent Dean's Faculty, to be elected by Faculty Council;
- 1 Undergraduate and 1 Graduate Student from the incumbent Dean's Faculty, to be selected by the Students' Union and the Graduate Students' Association;
- 1 Support staff member (Category S1.0) from the incumbent Dean's Faculty
- 1 Administrative and Professional Officer (A1.2), or Management and Professional Staff (MAPS) from the incumbent Dean's Faculty;

The largest proportion (>50%) of the total Committee membership should be comprised of Academic Faculty Members, the Provost, Vice-President (Research and Innovation), and Vice-Provost and Dean of FGSR).

Elected representative(s) from other academic staff categories may be added in Faculties where the staff numbers are sufficient (ATS, FSO, TRAS and/or TLAPS).

The composition of the Committees for the Vice-Provost and Dean of Students, and the Vice-Provost and Dean of FGSR, and the Vice-Provost and Chief Librarian may be different and are specified in *Faculty Deans Selection Procedure Appendix A: Committees for Individual Faculties*.

ii. Equity, diversity and inclusivity should factor into the composition of the review committee members.

iii. Procedures for the selection of faculty members, students, staff and Management and Professional staff should be documented and reviewed by the Office of the Provost and Vice-President (Academic) to ensure that they are consistent with the principles expressed in the *Recruitment Policy* around equity, diversity, and inclusivity.

The incumbent Dean will not be eligible to vote in the election of representatives to serve on their Dean

review committee.

iv. Once the Committee has been established, the Provost and Vice-President (Academic) will consult with the Chair or Vice-Chair of the GFC Nominating Committee and name up to two additional members to the selection committee to ensure sufficient representation and diversity.

v. Conflict of interest must be managed proactively across the review process. The Provost may consult the incumbent Dean on the composition of the review committee to assess potential or perceived conflicts of interest. The Provost will have the authority to assess whether any real or perceived conflict of interest can be managed. If the conflict cannot be managed effectively, the Provost will replace the Committee member.

All Committee members shall complete conflict of interest declarations, and any identified real or perceived conflicts of interest must be managed in accord with relevant university policies. Where a real or perceived conflict of interest cannot be managed to the satisfaction of the Provost, the Committee member will be replaced.

C. Procedures

1) Quorum

At any Committee meeting where a decision is made, at least one (1) of the two (2) Vice-Presidential members must be present, that is, either the Chair or Vice-Chair, and no more than two (2) of the other members shall be absent.

2) Confidentiality

Personal information collected or created by or on behalf of the Committee is confidential and must be managed in accordance with the University's Access to Information and Protection of Privacy Policy. Members of the Committee will be required to sign confidentiality agreements. At any time in the process, the Chair may remove members from the Committee who fail to honor commitments to confidentiality. Members may seek information from their constituencies and keep constituencies apprised of the non-confidential aspects of the review process. The Chair will guide Committee members with respect to consultations with their constituencies.

3) General

The Chair is responsible for making Committee members aware of their obligations under the *Discrimination, Harassment and Duty to Accommodate Policy, Code of Conduct, the Conflict Policy – Conflict of Interest and Commitment and Institutional Conflict Policy* and of applicable resources, including but not limited to the training offered by the Disclosure, Assurance and Institutional Research and Human Resource Services (HRS).

Committee members are responsible for awareness of equity, anti-discrimination and bias awareness, and knowledge of relevant policies and procedures prior to the first meeting. This should be confirmed and documented by the Chair.

3. REVIEW PROCESS

A. Review Criteria

The Provost, in consultation with the President, will provide the Dean with the review criteria for reappointment. The review criteria will include an assessment of their achievements as Dean and the position description used at the time of appointment. The review criteria will take into consideration any issues that arose over their term.

The Dean will write a self-assessment on their performance relevant to the review criteria over their first term. The Committee will use the criteria to guide consultations with the Faculty and relevant university and community stakeholders and to inform their recommendation on the reappointment of the incumbent.

B. Consultations and recommendation on reappointment

The Provost will determine a suitable consultation procedure to be implemented on a suitable timeframe to promote equitable participation by community members and stakeholders and fair evaluation of the incumbent.

The Committee will consult at a minimum with Academic Faculty Members, staff, and students.

The Committee will solicit feedback from stakeholder groups as determined to be relevant according to review criteria.

All consultations, including the Faculty forum, will be documented and a process for online written submissions will be established. Anonymous submissions will not be admitted but submissions may be anonymized before submission to the Committee.

The relevancy of all materials submitted will be determined by the Committee in consultation with Faculty Relations.

The Committee should consult with diverse colleagues as well as proactively solicit feedback from individuals from diverse backgrounds and perspectives.

Members of the Faculty are strongly encouraged to provide feedback during the consultations to ensure broad input.

C. Feedback Provided to the Dean

After the relevancy of all material submitted has been determined by the Committee and Faculty Relations, the Chair will provide the incumbent Dean with a summary of the material gathered respecting the confidentiality of respondents where requested. Simply providing original documents with identifying information redacted will not be acceptable.

D. Faculty Forum

- The Committee members will attend a Faculty forum for members of the Faculty and University community, which the Provost will chair.
- The Provost will be invited to present a summary of the Dean's achievements during their term(s) as Dean as relevant to the review criteria.
- The Dean will give an oral presentation that must include achievements during their term(s) as Dean, and address any expectations that arose during their term, and articulate their vision and goals for the next term.
- There will be time at the end of the presentations for Q & A from attendees.
- An online consultation will remain open to the community for a minimum of 3 working days following the forum to gather feedback on the Dean's presentation provided at the Faculty Forum.

4. RECOMMENDATION ON REAPPOINTMENT

- The Committee will meet to review the feedback from the community following the Faculty forum. Consideration of all materials provided will inform their decision.
- The Committee will vote to either support or deny the incumbent Dean's reappointment.
- The Provost will advise the President of the committee's recommendation. If the President doesn't accept the committee's recommendation, the President will meet with the committee to explain the President's reasons.
- When the President endorses reappointment of the Dean, the President will then recommend to the Board of Governors through the BHRCC that the Dean be reappointed. BHRCC will vote to reappoint the Dean or not.
- Following a decision not to renew the appointment of the Dean, or to terminate the appointment of the Dean after a review pursuant to Section 4 of this Procedure, the President will inform the Board of the decision and instruct the Provost to initiate the Selection of Faculty Deans Procedure and invite the Provost to appoint an Interim Dean.

5. EXCEPTIONS TO THESE PROCEDURES

At any time, notwithstanding the provisions in these procedures, the President, in their discretion, may recommend the suspension or termination of the appointment of a Dean without establishing a Committee where any action, omission, policy violation, or behaviour of the Dean, alleged or in fact, becomes or reasonably could become materially injurious to the University and its reputation. Termination of the appointment as Dean does not alter the academic appointment of the Dean under the Board/AASUA Collective Agreement. The recommendation of suspension or termination of the appointment of a Dean under such conditions will be made by the President to BHRCC, following which BHRCC will decide whether to suspend or terminate the appointment of a Dean.

6. DELEGATION OF AUTHORITY

By virtue of the *Post-secondary Learning Act* (section 21(1), 83 and 84(1)), the appointment of a Dean is made by the Board of Governors (Board) who has delegated its authority to the BHRCC in accordance with procedures approved by General Faculties council.

With respect to the Dean Review Procedures, the Board and GFC delegate their approval authority to the GFC Executive Committee for all routine or editorial amendments. For substantive amendments, the GFC Executive Committee recommends to the BHRCC, which retains approval authority for substantive amendments. The Provost and Vice-President (Academic) determines whether amendments are routine/editorial or substantive.

DEFINITIONS

Any definitions listed in the following table apply to this document only with no implied or intended institution-wide use. Refer to Recruitment Policy (Appendix A and Appendix B) for definitions of Staff.

Equity/Equitable In the context of this policy, equity is about fair access to employment and the opportunity to succeed in this domain. Employment equity principles, policies, and practices promote [or facilitate] access, representation, opportunities, and meaningful participation of persons historically under-represented.

Diversity In the context of this policy, diversity refers to the demographic and identity difference and variety within the University's workforce, including that based on the protected grounds. More broadly, within the University, diversity also encompasses difference or variety in education, ideas, perspectives, opinions, heuristics, disciplines, methodologies, epistemologies, faculties, skills, and learning opportunities.

Inclusion/Inclusivity In the context of this policy, inclusion is a principle and practice that values and cultivates the full and meaningful participation and representation of persons historically under-represented in the University's workforce.

Senior Administrators President, Vice-Presidents, Deputy Provost, Associate Vice-Presidents, Vice-Provosts, Deans, Directors and Chairs.

Employee(s) A person employed by the University and defined under *Recruitment Policy (Appendix A) Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff or Recruitment Policy (Appendix B) Definition and Categories of Support Staff.*

Persons historically under-represented Women, Indigenous persons (First Nations, Métis, Inuit), members of visible minority groups, persons with disabilities, persons who identify with under-represented sexual orientations, gender identity or expression.

Protected Grounds Refers to those grounds set out and defined in the *Alberta Human Rights Act* and in the University's *Discrimination, Harassment and Duty to Accommodate Policy* (UAPPOL) which are: race, religious beliefs, colour, gender, gender identity, gender expression, physical disability, mental

disability, age, ancestry, place of origin, marital status, source of income, family status, sexual orientations or political beliefs.

University Employment Equity Statement “The University of Alberta is committed to an equitable, diverse, and inclusive workforce. We welcome applications from all qualified persons. We encourage women; First Nations, Métis and Inuit; members of visible minority groups; persons with disabilities; persons of any sexual orientations or gender identity and expression; and all those who may contribute to the further diversification of ideas and the University to apply.”

Conflict Conflict of interest, conflict of commitment, or institutional conflict as defined in the University of Alberta Conflict Policy – Conflict of Interest and Commitment and Institutional Conflict Policy

Department Chairs Selection Procedure

Office of Administrative Responsibility: Office of the Provost and Vice-President (Academic)

Approver: General Faculties Council Executive Committee

Scope: Compliance with this University policy extends to all academic, support and excluded staff, postdoctoral fellows, and academic colleagues as outlined and defined in the Recruitment Policy (Appendix A and Appendix B: Definitions and Categories).

Overview

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

With respect to the procedures for the selection of Department Chairs, the Board and GFC delegate their approval authority to the GFC Executive Committee for all matters of a routine editorial nature. For matters of a substantive nature, the GFC Executive Committee shall recommend to the Board Human Resources and Compensation Committee (BHRCC). The Provost and Vice-President (Academic) will determine what is of a routine/editorial or substantive nature.

Purpose

The purpose of this procedure is to

- provide a general outline of the Chair selection process
- describe the composition of the Chair Selection Committee, how potential conflicts of interest are addressed and the requirements for quorum
- set out the Committee’s Chair selection procedures.

PROCEDURE

1. GENERAL OUTLINE OF CHAIR SELECTION PROCESS

- a. Where a Faculty is divided into Departments, for each Department there shall be appointed a Department Chair
- b. For Department Chairs, selection procedures (rather than review procedures) will be used in all cases unless a Faculty Council has adopted regulations that review or other procedures be used in that Faculty and such regulations have been approved by GFC. Notwithstanding the two basic procedures - selection and review - a certain amount of flexibility may also be permitted. For example, a Faculty may propose using selection procedures in some cases and review in others. Some Faculty Councils have adopted an alternate procedure, approved by GFC, whereby Department Chairs are appointed for an initial term with consideration of renewal by review for one additional term before search and selection procedures are invoked. This is the case in the following Faculties:

- i. Faculty of Agricultural, Life and Environmental Sciences
- ii. Faculty of Arts
- iii. Faculty of Education
- iv. Faculty of Medicine and Dentistry
- v. Faculty of Rehabilitation Medicine

c. Additionally, Faculties should review the demographic diversity of their entire group of chairs when undertaking a Chair selection to assess equity and inclusion. When necessary, they should take proactive measures in Chair selection to ensure that overall, the composition of the entire group of Chairs is inclusive of persons historically under-represented. Such measures should be designed in consultation with the Provost and General Counsel and should be consistent with this Policy and its associated Procedures.

~~e.d.~~ The letter of appointment must specify whether reappointment is to be by selection or review. The conditions of employment and criteria for future evaluation of the person selected must be specified fully at the time of the appointment if these differ from statutory duties or standard expectations. Acceptance of an appointment is taken as indicating acceptance of the procedures and criteria to be used at the end of the term. The letter of appointment is binding on both the Board and the person being appointed.

~~d.e.~~ The term of office for a Department Chair will not exceed five (5) years.

The process of selection or review at the end of a term is initiated by the Dean of the Faculty concerned. The process must be initiated at least six (6) months prior to the end of the incumbent's term. The Dean shall be responsible for ensuring that recruitment and decision-making processes within their respective areas of accountability are equitable, appropriately documented, and contribute to an equitable, diverse and inclusive community of employees.

2. THE CHAIR SELECTION COMMITTEE

General Composition of Selection Committees

- a. The Committee will normally consist of the following voting members:
 - Dean of the Faculty concerned, or designee, Chair.
 - Dean of the Faculty of Graduate Studies and Research, or designee.
 - Provost and Vice-President (Academic), or designee.
- b. Three (3) Academic Faculty Members from the Department concerned, elected by the Academic Faculty Members of the Department.
 - i. In practice, among the departmental electorate there will be both declared and undeclared candidates for the Chair's position at the time of the election. Declared candidates may not be elected as departmental representatives; however, these Academic Faculty Members should be included in the electorate. The actual election could be conducted by one of the following methods:
 - The Dean of the Faculty or designee convenes and chairs a special departmental meeting.
 - The Dean arranges for a secret ballot.
 - The Dean approves election procedures proposed by the Department.
 - ~~ii.~~ No Academic Faculty member of the Department in question should be excluded from voting in this election, because of a part-time appointment.
 - ~~iii.~~ ~~ii.~~ Academic Faculty Members cannot serve as representatives on selection and review committees for Department Chairs if they are on leave during the time the committee will

meet.

- c. One (1) academic faculty member, normally not a member of the Faculty of which the Department concerned is a part, will be selected from a panel which will consist of fifteen (15) members from Categories A1.1, A1.6, or their counterparts in A1.5 and A1.7, who shall be elected by GFC.
 - Membership on the panel shall be for three years staggered. (The first such panel under this clause shall consist of five members with a one-year term, five members with a two-year term, and five members with a three-year term.)
 - The Chair of a Committee shall notify the Office of the Provost when a Selection Committee is being formed and the Office of the Provost shall then notify the Chair of the Committee which member of the panel will be serving on the Committee.
 - The Office of the Provost will designate the member of the panel for a particular Committee after consultation with the Chair of the GFC Nominating Committee.
Committee members designated by the Provost should, to the extent possible, take into account the need for the Committee to be inclusive of persons historically under-represented.
 - Determination of the staff member to serve on a particular Committee shall be by rotation with the proviso that a member who has a conflict of interest may decline to serve on a particular Committee.
 - If a Committee has not completed its activities when the term of a GFC-elected representative on the panel finishes, that individual shall continue to be the GFC representative on that Committee until the selection procedure is complete.
- d. One (1) full-time member of the support staff (Category S1.0 and S2.0) from the Department concerned
 - i. The support staff Committee member shall be elected by the full-time support staff (Category S1.0 and S2.0) in that Department.
 - ii. The Dean's Office shall be responsible for directing the election of any support staff member serving on the Committee.
- e. Undergraduate student
 - i. All Departments that enroll undergraduate students must include one undergraduate student on their Committees, as selected by the appropriate Department Student Association using whatever method the Association deems suitable.
 - ii. If the Department Student Association does not exist, then the appropriate Faculty Student Association will be responsible for selecting the undergraduate student from the Department.
 - iii. Once selected, the name and contact information of the student representative must be forwarded by the appropriate Department or Faculty Student Association to the Department Office, and the Students' Union.
 - iv. If the Department Student Association (or the student Faculty Association) is unable to find an undergraduate student, the Students' Union will be responsible for the selection of the undergraduate representative from the Department.
- f. Graduate student
 - i. All Departments that enroll graduate students must include a graduate student on their Committee, as selected by the Department Graduate Students' Association by whatever means the Association deems suitable.
 - ii. Once a student is selected, the name and contact information of that student must be forwarded to the Department Office and Graduate Students' Association.
 - iii. If the Department Graduate Student Association is unable to find a graduate student, or if

there is no Department Graduate Students' Association, then the Graduate Students' Association will be responsible for the selection of the graduate student representative from the Department.

- iv. If the Department enrolls fewer than ten (10) graduate students, the department may request permission to waive graduate student representation from the Provost.
- g. For members designated by a Dean or by the Provost and Vice-President (Academic), such designations should, to the extent possible, seek to ensure that the committee composition reflects or exceeds the demographic diversity of the discipline, field, and Department in, inclusion of persons historically under-represented.
- h. The Provost may approve exceptions to this procedure and may consult with the GFC Executive.

Special Cases for General Composition of Selection Committee

a. Faculty of Medicine and Dentistry

Instead of the three (3) Academic Faculty Members described in 2.a.iv., the Committees in the Faculty of Medicine and Dentistry will normally consists of the following voting members:

- i. Three (3) full-time Academic Staff members (A1.0) or full-time Management and Professional Staff (Excluded) (D1.2) from the Department. At least two (2) must be from the Academic Faculty Members (A1.1 and/or A1.6). Of note, part-time Academic Faculty Members from the Department (members from categories A1.5 and A1.7) are eligible to elect to, but not sit on Committees.
- ii. In addition, Committees in the Faculty of Medicine and Dentistry will normally include the following:
 - a. In Clinical Departments: Two (2) Academic Colleagues from the categories of Special "Continuing" (C1.1) and/or Clinical Academic Colleague (C1.2) from the department elected by these groups.
 - b. In Clinical Departments: One Resident, if the Department has five (5) or more residents elected by the residents in the Department.
 - c. In departments with ten (10) or more Academic Teaching Staff Career Status, Academic Teaching Staff Term 12, and/or Trust/Research Academic Staff (A3.1): up to two (2) full-time academic staff members elected from and by these groups. For Departments with less than ten (10) members in these categories, one (1) member elected from and by these groups.
 - d. One (1) member of the Faculty Learning Committee (FLC) as selected by the Chair of FLC.
 - e. The Alberta Health Services Edmonton Zone Medical Director unless the Dean, in discussion with the Edmonton Zone Medical Director, accepts a delegate. If a concurrent selection process is occurring as per 3.b.ii, below, this position will remain vacant.
- b. Faculty of Engineering
 - i. Only Selection Committees are formed at the end of an incumbent's term.
 - ii. The term of a Department Chair shall be five years and at the end of that term the office is considered to be vacant.
 - iii. There shall be the addition of one (1) Academic Faculty member elected by Engineering Faculty Council from another Department within the Faculty.
 - iv. There shall be one (1) undergraduate student member, chosen by and from the undergraduate students of the Department concerned, and one (1) graduate student member, chosen by and from the graduate students of the Department concerned.
 - v. The Provost shall not be a member.

- c. Department of Psychology (Faculty of Arts)
 - i. Both the Dean of Arts and the Dean of Science shall serve on the Selection Committee for the Chair of the Department of Psychology, with the Dean of Arts in the Chair.
- d. Small Departments
 - i. For Departments with fewer than six (6) Academic Faculty Members, two (2) of the three (3) Committee members referred to in 2(b) above will be replaced by two (2) Academic Faculty Members elected by the Academic Faculty Members elected by the Faculty Council concerned.
 - ii. For Departments with six (6) to ten (10) Academic Faculty Members, inclusive, one (1) of the three (3) committee members referred to in 2(b) above will be replaced by one (1) Academic Faculty member elected by the Academic Faculty Members of the Faculty Council concerned.
 - iii. The slate of candidates put forward to Faculty Council should, to the extent possible, be considerate of relevant diversity-related issues. Specifically, the pool should be inclusive of persons historically under-represented relative to the discipline, field, and Department.
- e. Department of Biomedical Engineering
 - i. The Provost or designee shall be a member.
 - ii. The Committee shall include the Dean of the Faculty of Medicine and Dentistry and the Dean of the Faculty of Engineering or their designees.
 - iii. The Committee shall be chaired by the Dean or designee of one Faculty decided by mutual agreement between the Deans of the Faculties, or in the event of no agreement, by the Provost or designee.
 - iv. The selection of Academic Faculty Members from the Department must be such that at least one Full-time Member shall be from the Faculty of Medicine and Dentistry and one from the Faculty of Engineering or, if this is not possible, from Part-time or Cross Members.
 - v. The selection of Members shall, to the extent possible, seek to ensure that the Committee composition reflects or exceeds the demographic diversity of the University, inclusive of persons historically under-represented.

Changes in Committee Composition

- a. In the event that the majority of the statutory members of a Committee, or the Dean, is of the opinion that divisions within the Department are such that the normal composition of the Committee is inappropriate, the statutory members, or the Dean, shall recommend to the Provost that a Committee with a different composition be established. The Provost is authorized to establish a revised composition of the Committee, bearing in mind the principles underlying the normal composition.

Responsibilities of Committee members

- a. The Committee Chair is responsible for
 - making Committee members aware of their obligations under applicable University policy, in particular, the *Discrimination, Harassment and Duty to Accommodate Policy*, the University's *Employment Equity Statement* and the EDI Strategic Plan all as may be amended from time to time and documenting and confirming these efforts
- b. providing Committee members with applicable resources, including but not limited to, training offered by the Disclosure, Assurance and Institutional Research and Human Resource Services (HRS).

- c. Committee members are responsible for familiarizing themselves with the principles of equity, diversity and inclusivity concepts of bias awareness and discrimination the obligations under applicable University policies, in particular, the *Discrimination, Harassment and Duty to Accommodate Policy*, the University's *Employment Equity Statement* and the EDI Strategic Plan all as may be amended from time to time.

Conflict of Interest

- a. Notwithstanding the above, an incumbent shall not be eligible to vote in the election of Committee members.
- b. In no instance shall the membership of a selection committee include
 - a current candidate for the position of Chair
 - the outgoing Chair
 - any person with an apparent conflict of interest as determined by the Provost.
- c. All Committee members shall complete conflict of interest declarations, and any identified **conflict** of interest must be managed in accord with University's Conflict Policy and its associated procedures.
- d. The Provost in consultation with Faculty Relations shall determine whether a conflict can be managed.
- e. Where a conflict can be managed, the management of it shall be approved by the Provost in consultation with Faculty Relations.
- f. Where a conflict cannot be managed to the satisfaction of the Provost, a Committee member may be dismissed and replaced through the selection processes outlined above.

Quorum

- a. No more than one (1) member of a Committee can be absent from any meeting at which a final decision is made.
- b. To participate in a final decision and ensure fairness, Committee members must have been present at all sessions where all candidates were considered.

3. CHAIR SELECTION PROCEDURES

1. General Selection Procedure

Soliciting applicants

- a. The Committee shall invite suggestions concerning possible candidates from the members of the Department concerned and encourage the nomination of persons historically under-represented at the University and the Department.
- b. In addition to accepting applications from qualified candidates a Committee may actively solicit applications from apparently qualified persons including persons historically under-represented at the University.
- ~~b.c.~~ The Committee should ensure, to the extent possible, that the applicant pool reflects and exceeds the demographic diversity of the University and field inclusive of persons historically under-represented and may continue the solicitation of applications and extend any applicable deadline for submitting applications for this purpose.

Advertisement

- d. All vacancies must be advertised within the University.
- e. Advertisements will appear simultaneously or later than postings on University of Alberta Careers website.
- f. If a vacancy could, potentially, be filled by an appointee from outside the University, then the vacancy must be advertised in accordance with the *Academic Staff Posting*

Procedure, including media accessed by persons historically under-represented at the University.

Evaluation of qualifications and selection of candidate

- ~~e.g.~~ The Committee may consult with the incumbent Chair and/or other sources in the Department where it requires additional information concerning the duties, responsibilities, authorities, *et cetera* of the Department Chair position in question.
- h. The Committee will establish the required qualifications, skills, abilities, competencies and credentials for the Chair position in an objective, equitable and inclusive way.
- i. The Committee should have regard to inclusive and explicit criteria for the Chair position in reviewing and evaluating applications.
- j. The Committee Chair should
- Ensure the Committee documents practices for ensuring the equitable assessment of candidates
 - Employs equitable and inclusive indicators for determining the best-qualified candidate
 - Ensure that Committee evaluations are supported by evidence and that each candidate's strengths and weaknesses are evaluated equitably and consistently.
- k. All candidates selected for an interview should be provided with a common set of instructions, including relevant expectations, protocols, and evaluation criteria.
- l. The Committee will fulfil the university's duty to accommodate by giving candidates the opportunity to ask for reasonable accommodation during the application and interview process.
- m. Where the candidate is from outside the University, the Committee shall serve as both the selection committee in relation to the administrative appointment and the advisory selection committee in relation to the academic staff appointment.
- ~~d.n.~~ If the incumbent is a candidate, past performance must be considered by the Committee.
- o. The Committee shall explicitly address any career path choices or interruptions as they might affect the assessment of the candidate.
- p. At each stage of the selection process the Committee members should be allocated sufficient time to consider all materials, information, and candidates in an equitable manner.
- q. The Committee should ensure, to the extent possible, that the pool of shortlisted candidates reflects or exceeds the demographic diversity of the University. Specifically, the pool should be inclusive of persons historically under-represented relative to the discipline, field and the pool of Department Chairs.
- r. Where candidates are determined to be similarly qualified for the Chair position, the final selection/recommendation decision will favour achieving diversity in the workplace and correcting employment disadvantages experienced by persons historically under-represented at the University.
- ~~e.s.~~ When the Committee has made its decision, the Dean of the Faculty has the authority to accept or reject the committee's recommendation. If the Dean accepts the recommendation, the Dean offers the appointment to the candidate and, following the candidate's acceptance, advises the Provost. The Provost formally advises the candidate on behalf of the University.
- ~~f.t.~~ If the Dean of the Faculty doesn't accept the Committee's recommendation, the Dean will explain their reasons to the Committee and the Committee will then discuss whether another candidate should go forward, or whether to terminate the search and begin again.

2. Special Cases for Selection Procedures

- a. Engineering Chairs
 - i. The Committee shall recommend one (1) candidate as the proposed Chair.
 - ii. The full-time academic staff of the Department concerned shall, by a simple majority vote, indicate acceptance or rejection of the Committee's recommendation. The ballot paper shall read:

I accept the Committee's recommendation for Chair.

I reject the Committee's recommendation for Chair.
 - iii. In the event of rejection, the committee shall recommend another candidate.
 - iv. The vote, by secret ballot, shall be conducted by the Committee in accordance with the procedures laid down by the Faculty of Engineering.
 - v. The Dean, as Chair of the Committee, shall make the vote known to the successful candidate, including abstentions.
- b. Faculty of Medicine and Dentistry
 - i. For Clinical Departments where it is possible that the Department Chair and the Zone Clinical Department Head (Alberta Health Services (AHS)) could be the same individual, a concurrent committee (led by AHS) will be formed, that will meet, shortlist, and interview jointly with the University's selection committee.
 - ii. The final vote will be a preferential ballot with University and AHS votes counted separately. The total University vote represents the committee's recommendation for Department Chair to the Dean. The total AHS vote represents the AHS committee's recommendation for Zone Clinical Department Head to the Zone Medical Director. The Dean and the Zone Medical Director will then discuss whether or not to offer both roles concurrently to one candidate.

DEFINITIONS

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

DEFINITIONS

Any definitions listed in the following table apply to this document only with no implied or intended institution-wide use. Refer to Recruitment Policy (Appendix A and Appendix B) for definitions of Staff.

Equity/Equitable In the context of this policy, equity is about fair access to employment and the opportunity to succeed in this domain. Employment equity principles, policies, and practices promote [or facilitate] access, representation, opportunities, and meaningful participation of persons historically under-represented.

Diversity In the context of this policy, diversity refers to the demographic and identity difference and variety within the University's workforce, including that based on the protected grounds. More broadly, within the University, diversity also encompasses difference or variety in education, ideas, perspectives, opinions, heuristics, disciplines, methodologies, epistemologies, faculties, skills, and learning opportunities.

Inclusion/Inclusivity In the context of this policy, inclusion is a principle and practice that values and cultivates the full and meaningful participation and representation of persons historically under-represented in the University's workforce.

Employee(s) A person employed by the University and defined under *Recruitment Policy (Appendix A) Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff* or *Recruitment Policy (Appendix B) Definition and Categories of Support Staff*.

Persons historically under-represented Women, Indigenous persons (First Nations, Métis, Inuit), members of visible minority groups, persons with disabilities, persons who identify with under-represented sexual orientations, gender identity or expression.

Senior Administrators President, Vice-Presidents, Deputy Provost, Associate Vice-Presidents, Vice-Provosts, Deans, Directors and Chairs.

Protected Grounds Refers to those grounds set out and defined in the *Alberta Human Rights Act* and in the University's *Discrimination, Harassment and Duty to Accommodate Policy (UAPPOL)* which are: race, religious beliefs, colour, gender, gender identity, gender expression, physical disability, mental disability, age, ancestry, place of origin, marital status, source of income, family status, sexual orientations or political beliefs.

University Employment Equity Statement "The University of Alberta is committed to an equitable, diverse, and inclusive workforce. We welcome applications from all qualified persons. We encourage women; First Nations, Métis and Inuit; members of visible minority groups; persons with disabilities; persons of any sexual orientations or gender identity and expression; and all those who may contribute to the further diversification of ideas and the University to apply."

Conflict Conflict of interest, conflict of commitment, or institutional conflict as defined in the *University of Alberta Conflict Policy – Conflict of Interest and Commitment and Institutional Conflict Policy*

FORMS

There are no forms for this Procedure. [[▲ Top](#)]

RELATED LINKS

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

[Academic Staff Posting and Advertising Procedure](#)

[Appointment of Faculty Procedure \(UAPPOL\)](#)

[Department Chairs Selection Procedure \(Appendix B\) Terms and Conditions for Department Chairs \(UAPPOL\)](#)

[Recruitment Policy \(Appendix A\) *Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff* \(UAPPOL\)](#)

[Recruitment Policy \(Appendix B\) *Definition and Categories of Support Staff* \(UAPPOL\)](#)

[Selection of Department Chairs Procedure \(Appendix A\): Roles and Responsibilities \(UAPPOL\)](#)

[Equity, Diversity, and Inclusion: Best Practices in Faculty Recruitment and Hiring](#)

Approval Date: December 11, 2009

Most Recent Editorial Date: July 27, 2016

Parent Policy: Recruitment Policy

Department Chairs Review Procedure

Office of Administrative Responsibility: Office of the Provost and Vice-President (Academic)

Approver: General Faculties Council Executive Committee

Scope: Compliance with this University policy extends to all academic, support and excluded staff, postdoctoral fellows, and academic colleagues as outlined and defined in the Recruitment Policy (Appendix A and Appendix B: Definitions and Categories).

Overview

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

With respect to the procedures for the review of Department Chairs, the Board and GFC delegate their approval authority to the GFC Executive Committee for all matters of a routine editorial nature. For matters of a substantive nature, the GFC Executive Committee shall recommend to the Board Human Resources and Compensation Committee (BHRCC). The Provost and Vice-President (Academic) will determine what is of a routine/editorial or substantive nature.

Purpose

To detail the procedure for the review of Department Chairs.

PROCEDURE

In accordance with the Department Chair Selection Procedure, review procedures will be used instead of selection procedures in the following instances: first, at the end of a term; second, when a Faculty Council has adopted regulations that review procedures will be used in that Faculty and such regulations have been approved by GFC. A certain amount of flexibility may also be permitted. For example, a Faculty may propose to the Dean for approval the use of selection or review procedures [in some cases and review in others]. As well, alternate procedures have been adopted by Faculty Councils and approved by GFC.

1. INSTIGATION OF REVIEWS

Review may come about in three (3) ways:

a. In anticipation of an end of term if provided for in the terms of appointment. (Such a review should serve two purposes. The first is the traditional one of determining if an appointment is to be renewed. The

second is to provide an opportunity for an incumbent to obtain an objective and helpful assessment, which may not be available by other means.)

The term of office for a Department Chair shall not exceed five (5) years.

In accordance with the Department Chair Selection Procedure, review procedures will only be used instead of selection procedures at the end of a term when a Faculty Council has adopted regulations that review procedures will be used in that Faculty and such regulations have been approved by GFC. A certain amount of flexibility may also be permitted. For example, a Faculty may propose using selection procedures in some cases and review in others. Alternate procedures have been adopted by Faculty Councils and approved by GFC.

The process of review in anticipation of the end of a term is initiated by the Dean of the Faculty concerned. The process must be initiated at least six (6) months prior to the end of the incumbent's term. If a review is carried out, the decision must be reached no later than two months after the formation of the committee. The Dean shall be responsible for ensuring that recruitment and decision-making processes within their respective areas of accountability are equitable, appropriately documented, and contribute to an equitable, diverse and inclusive community of employees.

b. During the term at the joint initiative of the Provost and Vice-President (Academic) and Dean of the Faculty.

c. During the term by petition, as follows:

- i. Petitions for review of Department Chairs shall be submitted to the Dean.
- ii. Where the petition is signed by a majority of Academic Faculty Members in the Department, the Dean must establish the appropriate review committee.
- iii. Where the petition is not signed by a majority of Academic Faculty Members in the Department, the Dean shall decide in conjunction with the Provost and Vice-President (Academic) whether or not a review committee shall be established.

2. CONTINUING APPOINTMENTS

In the case of those Department Chairs whose appointments were made prior to the development of these procedures and whose appointments as Department Chairs are on a continuous basis, performance review procedures will be used and such reviews will be carried out every five (5) years.

3. PERFORMANCE EVALUATIONS

The specifics of evaluating performance of an incumbent Chair with a view to reappointment fall within the jurisdiction of the review or selection committee. The review should be largely based on an evaluation of the individual's administrative performance. However, it should also be based upon the belief that teaching and research work are continuing commitments of all academics, whether or not they occupy administrative positions. While it is expected that a Chair remain active in at least one of these areas, the extent of such participation will be greatly influenced by the administrative needs of the specific Department or Faculty. The appointment agreement should stipulate the workload and performance expectations in teaching and research for the term, with particular attention to career advancement in Associate Professors.

4. COMPOSITION OF REVIEW COMMITTEES

a. All reviews shall be carried out by a duly constituted review committee. Normally, the composition of the Committee, the quorum and related matters shall be the same as for selection committees.

b. Once members have been elected, the Provost and Vice-President (Academic) may name up to two additional full-time Academic Faculty Members to the Committee to ensure broad representation and demographic diversity across the Faculty. The Provost shall consult with the Chair or the Vice-chair of the GFC Nominating Committee. Overall, the Committee composition should be representative of the demographic diversity of the University with respect to persons historically under-represented.

c. Notwithstanding the provisions of 4a (above), in the case of the review of a Department Chair, the incumbent shall not be eligible to vote in the election of departmental representatives to serve on the Committee.

5. REVIEW PROCEDURES

a. General

- i. The review Committee is advisory to the Dean and shall obtain information about the effectiveness of the incumbent with respect to the expectations and directions at the time of appointment, and the desirability of reappointment or continuation. The Dean of the Faculty has the authority to accept or reject the Committee's recommendation.
- ii. The Committee Chair should
 - a. ensure the Committee documents practices for ensuring the equitable assessment of the incumbent
 - b. ensure that Committee evaluations are supported by evidence and that the incumbent's strengths and weaknesses are evaluated equitably and consistently.
- iii. As a minimum, the Committee shall solicit submissions from the staff of the Department or Faculty, and the Dean in this regard.
- iv. All submissions to the Committee shall be in writing and signed; the review committee shall make every effort to ensure confidentiality.
- v. The relevancy of all materials submitted shall be determined by the review Committee in consideration of the original job advertisement and expectations at the time of appointment.
- vi. After the relevancy of all material submitted has been determined by the review Committee, the Committee Chair shall then provide in writing to the incumbent a summary of that material. Comments contained in this summary shall not be attributed to any person(s). It is not acceptable to use redacted versions of the original submissions.
- vii. The incumbent shall be invited to submit an oral or written presentation, or both, concerning their performance.
- viii. After sufficient discussion, the Chair of the Committee polls the committee to reach a "preliminary decision" in the case. The Dean of the Faculty has the authority to accept or reject the Committee's recommendation.
- ix. When the Dean accepts a recommendation to offer an additional term to the incumbent (or to continue in office in the case of a review under 1.b. or 1.c.), or rejects a recommendation not to offer an additional term to the incumbent, the Dean offers the reappointment to the incumbent and, following the incumbent's acceptance, advises the Provost. The Provost formally advises the candidate on behalf of the University.
- x. If the Dean of the Faculty does not accept the Committee's recommendation to reappoint, the Dean will explain their reasons to the Committee and to the

incumbent. A selection committee will then be established.

x-xi. If the Dean accepts a recommendation not to reappoint, the Dean will inform the incumbent and the Provost. A selection committee will then be established.

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Persons historically under-represented Women, Indigenous persons (First Nations, Métis, Inuit), members of visible minority groups, persons with disabilities, persons who identify with under-represented sexual orientations, gender identity or expression.

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Conflict Conflict of interest, conflict of commitment, or institutional conflict as defined in the University of Alberta Conflict Policy – Conflict of Interest and Commitment and Institutional Conflict Policy

Approval Date:
May 13, 2011 Effective Date: July 1, 2011

Parent Policy: Recruitment Policy

Academic Selection Procedure

Office of Administrative Responsibility: Human Resource Services and Faculty Relations Approver:
General Faculties Council & Board of Governors

Scope: Compliance with this university policy/procedure extends to all Academic Staff, Administrators and Colleagues; as outlined and defined in Recruitment Policy (Appendix A)

Overview

The University of Alberta (“University”) is committed to appointing the best-qualified candidates for its employment opportunities and aspires to achieve an equitable, diverse and inclusive community of employees consistent with the mission set out in its Strategic Plan for Equity, Diversity and Inclusivity (“EDI Strategic Plan”). By adopting EDI principles and practices into its academic staff selection process, the University hopes to achieve diversity in the workplace and correct employment disadvantages experienced by persons historically under-represented at the University. These principles and practices are designed to ensure that access to the University’s employment opportunities is equitable and inclusive by removing employment-related barriers, particularly those based on protected grounds. This will require periodic assessment of demographic, intellectual, and other aspects of diversity when contemplating a search.

Purpose

The purpose of this procedure is to enable open, transparent, and equitable processes in the selection of all employees defined under *Recruitment Policy (Appendix A) Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff* and address matters such as:

- Advertisements and applications
- Matters related to advisory selection committees and other persons involved in the appointments
- The procedures for advisory selection committees, and
- The composition of advisory selection committees.-

PROCEDURE

1. APPLICATIONS

a. Any advertisement will describe the required qualifications, skills, abilities, competencies and credentials in an objective, equitable and inclusive way so as to attract applications from persons historically under-represented at the University.

b. Personal information is collected in accordance with the provisions of the Freedom of Information and Protection of Privacy Act (FOIPP).

c. Verification of qualifications, interviews and reference checks will include only those inquiries necessary to determine an applicant’s eligibility and suitability.

d. Any costs associated with the collection of required information are the responsibility of the applicant.

e. Candidates must complete and sign a Consent for Collection and Verification of Information Form before references can be contacted or information verified. The Selection Panel must consider whether all

reasonable efforts have been made to attract applications from persons historically under-represented and empower the panel to extend the deadline for submitting and receiving applications.

2. ADVISORY SELECTION COMMITTEES

- a. Advisory Selection Committees are required for the selection of Academic staff in continuing appointments, subject to the exceptions as outlined below. The role of all selection committees is to advise the authorized appointing officer on selection.
 - b. The Committee should consider whether its overall composition includes persons historically under-represented or whether additional panel members are needed to address its diversity.
 - c. Committee members are responsible for familiarizing themselves with the principles of equity, diversity and inclusivity concepts of bias awareness as well as the obligations under applicable University policies, such as the *Discrimination, Harassment and Duty to Accommodate Policy*, the University's *Employment Equity Statement* and the EDI Strategic Plan all as may be amended from time to time.
 - ~~e.~~ All Committee members shall complete conflict of interest declarations, and any identified **conflict** of interest must be managed in accord with University's Conflict Policy and its associated procedures.
 - d. The Committee chair should
 - ensure the Committee documents practices for ensuring the equitable assessment of candidates
 - employs equitable and inclusive indicators for determining the best-qualified candidate
 - ensure that Committee evaluations are supported by evidence and that each candidate's strengths and weaknesses are evaluated equitably and consistently.
- a. Academic Faculty Members
- i. Academic Faculty Members will be appointed by the Dean who is the authorized appointing officer on the advice of an Advisory Selection Committee. Exceptions to this procedure are outlined in 2.a (iv).
 - ii. Each academic department will have Advisory Selection Committee(s) for the appointment of Academic Faculty Members. The duty of an Advisory Selection Committee is to provide advice to the Dean.
 - iii. Advisory Selection Committees cannot be waived for appointments with tenure.
 - iv. Advisory Selection Committees may be waived for tenure track appointments:
 1. for Associate Professors on probation by the Provost on the recommendation of the Dean; and
 2. for Assistant Professors by the Dean.
 - v. If an Academic Faculty member is being selected primarily for a position outside a Faculty (e.g. an administrative appointment), the Academic Faculty member must have a joint appointment with a Faculty for the purposes of making decisions regarding tenure and promotion. The Advisory Selection Committee for the administrative position will provide the Faculty Advisory Selection Committee with the qualifications of the candidate. The Faculty Advisory Selection Committee will advise the Dean on the appointment to the Faculty. When a Dean accepts a joint appointment to their Faculty, the Advisory

Selection Committee can continue with the administrative appointment selection procedure.

vi. The Dean shall be responsible for ensuring that recruitment and decision-making processes are equitable, appropriately documented, and contribute to an equitable, diverse and inclusive community of employees.

b. LIBRARIAN

i. Librarians will be appointed by the Vice Provost and Chief Librarian who is the authorized appointing officer. The Vice-Provost and Chief Librarian shall be responsible for ensuring that recruitment and decision-making processes are equitable, appropriately documented, and contribute to an equitable, diverse and inclusive community of employees.

ii. An Advisory Selection Committee must be used in the appointment of all Librarians hired under the Board/AASUA Collective Agreement, Schedule C for Librarians.

iii. The duty of the Advisory Selection Committee is to provide advice to the Vice-Provost and Chief Librarian on the selection of a Librarian.

iv. Upon the request of the Vice-Provost and Chief Librarian and following consultation with the AASUA, the Provost and Vice-President (Academic) may waive the use of an Advisory Selection Committee.

c. FACULTY SERVICE OFFICER

i. Faculty Service Officers will be appointed by the Dean, who is the authorized appointing officer on the advice of the Advisory Selection Committee. The Dean shall be responsible for ensuring that recruitment and decision-making processes are equitable, appropriately documented, and contribute to an equitable, diverse and inclusive community of employees.

ii. Unless otherwise determined by the Faculty Council, each Faculty will have an Advisory Selection Committee for the appointment of Faculty Service Officers.

iii. The duty of the Advisory Selection Committee is to provide recommendations to the Dean on the appointment of Faculty Service Officers.

iv. If a Faculty Service Officer is being selected for an administrative position outside a Faculty, the Faculty Service Officer must have a joint appointment with a Faculty for the purposes of making decisions regarding promotion and the awarding of a continuing appointment. The Selection Committee for the administrative position will provide the Faculty Advisory Selection Committee with the qualifications of the candidate. The Faculty Advisory Selection Committee will advise the Dean on the appointment of the Faculty Service Officer to a position within the Faculty. When a Dean accepts the recommendation, the selection committee can continue with the administrative appointment selection procedure.

d. ADMINISTRATIVE AND PROFESSIONAL OFFICERS

- i. Administrative and Professional Officers will be appointed by the appropriate Vice-President who is the authorized appointing officer on the advice of an Advisory Selection Committee. The appropriate Vice-President will be responsible for ensuring that recruitment and decision-making processes are equitable, appropriately documented, and contribute to an equitable, diverse and inclusive community of employees.
- ii. An Advisory Selection Committee must be used in the appointment of all Administrative Professional Officers hired under the Board/AASUA Collective Agreement Schedule F for Administrative Professional Officers.
- iii. The duty of the Advisory Selection Committee is to provide advice to the Vice-President on the appointment of Administrative Professional Officers.
- iv. The use of an Advisory Selection Committee may be waived by the Provost upon the request of the Vice-President.
- v. Qualified candidates for an Administrative Professional Officer position currently employed by the University should be given full consideration for vacant positions.

e. TEMPORARY APPOINTMENTS

- i. Selection procedures for the appointment of Academic Staff in temporary appointments will be at the discretion of the authorized appointing officer, as defined in the applicable Schedule of the Board/AASUA Collective Agreement. It is highly encouraged that the appointing officer uses an Advisory Selection Committee to provide advice on the appointment. The authorized appointing officer shall be responsible for ensuring that recruitment and decision-making processes are equitable, transparent, appropriately documented, and contribute to an equitable, diverse and inclusive community of employees.

3. PROCEDURES FOLLOWED BY ADVISORY SELECTION COMMITTEES

- a. Internal procedures for Advisory Selection Committees for Academic Faculty Members and Faculty Service Officers will be established by the appropriate Faculty Council.
- b. In assessing candidates for Academic Faculty member and Faculty Service Officer appointments, Deans will direct all Advisory Selection Committees to establish methods to examine and assess a candidate's teaching experience and teaching potential appropriate to the duties of the position and the specific requirements of the discipline.
- c. Internal procedures for Advisory Selection Committees for Librarians will be established by the Library Council.
- d. Internal procedures for Advisory Selection Committees for APOs and, if used, for Academic Staff in Temporary Appointments, will be established by the authorized appointing officer or delegate.
- e. Internal procedures established under this Procedure should in general require that advisory selection committees adopt, document, and base evaluations upon explicit criteria that are consistent with the advertised position requirements. Committees should also in all cases explicitly address any career path pathways or interruptions as they might affect assessment of the candidates.

4. COMPOSITION OF ADVISORY SELECTION COMMITTEES

A. ACADEMIC FACULTY MEMBERS and FACULTY SERVICE OFFICERS

The composition of the Advisory Selection Committee will be as follows unless changed by the Faculty Council. If the Faculty changes the composition, the Dean must inform the Provost in writing.

a. Composition of Advisory Selection Committee for Academic Faculty appointments to departmentalized Faculties.

- i. The Advisory Selection Committee Chair (either the Dean, Vice-Dean, or an Associate Dean or other delegate of the Dean), determined in consultation with the Department Chair;
- ii. The Department Chair or delegate;
- iii. One or more full-time Academic Faculty Members from within the Department (including joint appointments) who are to be selected according to procedures approved by the Faculty Council;
- iv. One or more full-time Academic Faculty Members from outside the Department who are selected by and according to procedures approved by the Faculty Council; and
- v. One representative of the relevant professional body selected by the other members of the Advisory Selection Committee where the members consider such representation appropriate. The Advisory Selection Committee will be responsible for determining what is meant by a “relevant professional body”. The Chair of the Advisory Selection Committee will be responsible for informing the Provost of the name and affiliation of any representative added to the Advisory Selection Committee under this section.

b. Composition of Advisory Selection Committee for Academic Faculty appointments to non-departmentalized Faculties

- i. The Advisory Selection Committee Chair (either the Dean, Vice-Dean, or an Associate Dean, or other delegate of the Dean);
- ii. The head of the Appropriate Division or Unit of the Faculty, where appropriate;
- iii. One or more full-time Academic Faculty Members from within the Faculty (including joint appointments) selected by and according to the procedures approved by the Faculty Council;
- iv. One or two full-time Academic Faculty Members from outside of the Faculty selected by and according to the procedures approved by the Faculty Council; and
- v. One representative of the relevant professional body selected by the other members of the Advisory Selection Committee where the members consider such representation appropriate. The Advisory Selection Committee will be responsible for determining what is meant by a “relevant professional body”. The Chair of the Advisory Selection Committee will be responsible for informing the Provost, of the name and affiliation of any representative added to the Advisory Selection Committee under this section.

c. Composition of the Advisory Selection Committee for the appointment of Named Research/Teaching Chairs.

Prior to the commencement of the selection process, the Faculty will ensure that the Provost has been advised (in writing) of any changes in the composition of the Advisory Selection Committee.

d. Composition of the Advisory Selection Committee for the appointment of Faculty Service Officers

- i. The Advisory Selection Committee Chair (either the Dean, Vice-Dean, or an Associate Dean or other delegate of the Dean);
- ii. The Department Chair, if any; and
- iii. Such other members as the Dean and Department Chair, if any, may consider necessary.

B. LIBRARIANS

- a. The Administrative Librarian responsible for human resources, as Chair;
- b. The supervisor;
- c. One staff member from the unit involved selected by the Chair;
- d. One staff member of the Library, selected according to procedures approved by the Library Council; and
- e. Other persons as deemed necessary by the Vice-Provost and Chief Librarian following consultation with the Committee.

C. ADMINISTRATIVE PROFESSIONAL OFFICERS

- a. The composition of the Advisory Selection Committee will be at the discretion of the authorized appointing officer or delegate, and will normally consist of at least three individuals.

DEFINITIONS

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Equity/Equitable In the context of this policy, equity is about fair access to employment and the opportunity to succeed in this domain. Employment equity principles, policies, and practices promote [or facilitate] access, representation, opportunities, and meaningful participation of persons historically under-represented.

Diversity In the context of this policy, diversity refers to the demographic and identity difference and variety within the University's workforce, including that based on the protected grounds. More broadly, within the University, diversity also encompasses difference or variety in education, ideas, perspectives, opinions, heuristics, disciplines, methodologies, epistemologies, faculties, skills, and learning opportunities.

Inclusion/Inclusivity In the context of this policy, inclusion is a principle and practice that values and cultivates the full and meaningful participation and representation of persons historically under-represented in the University's workforce.

Employee(s) A person employed by the University and defined under *Recruitment Policy (Appendix A) Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff* or *Recruitment Policy (Appendix B) Definition and Categories of Support Staff*.

Persons historically under-represented Women, Indigenous persons (First Nations, Métis, Inuit), members of visible minority groups, persons with disabilities, persons who identify with under-represented sexual orientations, gender identity or expression.

Senior Administrators President, Vice-Presidents, Deputy Provost, Associate Vice-Presidents, Vice-Provosts, Deans, Directors and Chairs.

Protected Grounds Refers to those grounds set out and defined in the *Alberta Human Rights Act* and in the University's *Discrimination, Harassment and Duty to Accommodate Policy* (UAPPOL) which are: race, religious beliefs, colour, gender, gender identity, gender expression, physical disability, mental disability, age, ancestry, place of origin, marital status, source of income, family status, sexual orientation_s or political beliefs.

University Employment Equity Statement “The University of Alberta is committed to an equitable, diverse, and inclusive workforce. We welcome applications from all qualified persons. We encourage women; First Nations, Métis and Inuit; members of visible minority groups; persons with disabilities; persons of any sexual orientation_s or gender identity and expression; and all those who may contribute to the further diversification of ideas and the University to apply.”

Conflict Conflict of interest, conflict of commitment, or institutional conflict as defined in the University of Alberta Conflict Policy – Conflict of Interest and Commitment and Institutional Conflict Policy

Student “Student” means any student enrolled at the University of Alberta, either full-time or part-time. The term “student” may be preceded by “undergraduate” or “graduate” or “full-time” for clarification.

Person “Person” means any individual selected or elected by the particular group or body referred to and may include faculty members, students, other employees of the University, or persons who are neither students nor employees of the University.

Faculty Member “Faculty Member” means a full-time faculty member (from Category A1.1 or A1.6) who is employed at the University under the terms and conditions of the Board/AASUA Agreement, Schedule A – Academic Faculty Members.

Faculty, Librarians, Faculty Service Officers, Administrative Professional Officers, and Temporary See *Recruitment Policy (Appendix A) Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff (categories A1.0 to A3.4 and D1)*

Joint Appointment Academic Staff under Categories A, B or C of the Recruitment Policy (Appendix A) *Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff* who are appointed to more than one University department with a designated home department within the University.

FORMS

Consent for Collection and Verification of Information form

RELATED LINKS

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

Equity, Diversity, and Inclusion: Best Practices in Faculty Recruitment and Hiring

Original Approval Date: May 13, 2011 Effective Date: July 1, 2011

Most Recent Approval Date: December 12, 2016

Parent Policy: Recruitment Policy

Academic Staff Posting and Advertising Procedure

Office of Administrative Responsibility: Human Resource Services and Faculty & Staff Relations

Approver: Provost and Vice-President (Academic) & Vice-President (Finance and Administration)

Scope: Compliance with this university policy/procedure extends to all Academic Staff, Administrators and Colleagues; as outlined and defined in Recruitment Policy (Appendix A)

Overview

The University of Alberta (“University”) is committed to appointing the best-qualified candidates for its employment opportunities and aspires to achieve an equitable, diverse and inclusive community of employees consistent with the mission set out in its Strategic Plan for Equity, Diversity and Inclusivity (“EDI Strategic Plan”). By adopting EDI principles and practices into its Academic Selection process, the University hopes to achieve diversity in the workplace and correct employment disadvantages experienced by persons historically under-represented at the University. These principles and practices are designed to ensure that access to the University’s employment opportunities is equitable and inclusive by removing employment-related barriers, particularly those based on protected grounds.

Purpose

This procedure outlines the steps that must be followed for posting and advertising vacancies for employees defined under *Recruitment Policy (Appendix A) Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff*.

PROCEDURE

GENERAL REQUIREMENTS FOR POSTING AND ADVERTISING OF JOB VACANCIES

1. Continuing academic vacancies (Faculty, Administrative Professional Officer, Faculty Service Officer, and Librarian) will be posted on the University of Alberta Careers website for a minimum of five business days.
2. Subject to the provisions of the Board/AASUA Collective Agreement for Academic Staff appointed to temporary appointments and excluded appointment handbooks, it is recommended that positions with an appointment term greater than one year be posted.
3. The University hopes to achieve diversity in the workplace and correct employment disadvantages experienced by persons historically under-represented at the University. The **University Employment Equity Statement** should be included on all postings and advertisements.

4. Postings and advertisements for vacancies at Faculté Saint-Jean may appear in English, French or both. Where the advertisement is in French, it will clearly state the requirement for oral and written competency in English.

5. Advertisements will appear simultaneously or later than postings on University of Alberta Careers website, and should appear in media accessed by persons from historically under-represented groups.

6. Postings and advertisements for Academic Faculty Members will include the Canadian preference proviso statement unless administrative duties comprise 51% or greater of the position.

7. Postings will articulate the University's commitment to the Duty to Accommodate during the recruitment process and invite requests by applicants for reasonable accommodations.

WAIVERS AND EXCEPTIONS TO POSTING

8. In exceptional circumstances, the posting requirements for continuing academic positions may be waived with the prior approval of the Provost. The Provost and Vice-President (Academic) will advise the AASUA of the decision and report all waivers to the General Faculties Council annually. Requests for waiver of posting should be submitted to Human Resource Services.

9. Posting is not required when an incumbent's position is reclassified or converted from Support Staff to Administrative Professional Officer (unless a **foreign national** holds the position).

RULES RELATED TO FOREIGN NATIONALS

10. As per the federal government immigration advertising requirements, posting and advertising cannot be waived if foreign national applicants are to be considered.

a. Advertisements must appear in designated Canadian national media.

b. Any position in which teaching comprises 50% or more of the position must be advertised for a minimum of 30 days in the Canadian Association of University Teachers Bulletin and University Affairs (print or website) before foreign national applicants can be considered within the competition.

c. International advertisements must appear simultaneously or later than Canadian advertisements. The number of international media advertisements must not exceed the number of Canadian national advertisements.

UNIVERSITY EMPLOYMENT EQUITY STATEMENT

11. All postings and advertisements will include the University Employment Equity Hiring Statement.

12. In cross appointments, the name of the external organization or institution may be included in the University Equity Statement or the equity statement of the external organization or institution may appear in conjunction with the University Equity Statement.

INITIATING THE PROCESS

13. If the hiring unit uses the services of a search consultant, the consultant must work with Human Resource Services and will follow the approved standards and templates for University of Alberta advertisements. The consultant should demonstrate expertise in principles of equity, diversity and inclusivity and same should be reflected in their own organization.

14. Hiring units initiate the posting and advertising process to create a new competition.

15. All postings and advertisements will establish the required qualifications, skills, abilities, competencies and credentials required in an objective, equitable and inclusive way and should include:

- a. Position title and appointment category
- b. Department/Unit
- c. Major responsibilities and accountabilities
- d. Rank (for Academic Faculty Member, FSO and Librarian positions)
- e. Required academic qualifications, knowledge, skills and abilities
- f. Term of employment (if applicable)
- g. Deadline date for applications or date when the application review process will begin
- h. Contact information

ROLE OF HUMAN RESOURCE SERVICES

16. Human Resource Services will review and approve all postings and advertisements to:

- a. Ensure the content is accurate and the information and advertising complies with federal government immigration requirements (where applicable)
- b. Confirm rank and salary range (if applicable)
- c. Ensure compliance with the University's posting and advertising standards and templates

ADVERTISING

17. If advertising is required, Human Resource Services will submit the approved advertising copy to the advertising agency for proofs and cost quotes.

18. Upon receipt of the proofs and cost quotes, the hiring unit will advise the advertising agency and Human Resource Services of the approved cost quotes and any final edits to the proof. The cost of advertising is the responsibility of the hiring unit.

19. In selecting advertising venues, the hiring unit should identify relevant venues to reach a diverse pool of qualified prospective applicants.

DEFINITIONS

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opportunities.

Inclusion/Inclusivity In the context of this policy, inclusion is a principle and practice that values and cultivates the full and meaningful participation and representation of persons historically under-represented in the University's workforce.

Employee(s) A person employed by the University and defined under *Recruitment Policy (Appendix A) Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff* or *Recruitment Policy (Appendix B) Definition and Categories of Support Staff*.

Persons historically under-represented Women, Indigenous persons (First Nations, Métis, Inuit), members of visible minority groups, persons with disabilities, persons who identify with under-represented sexual orientations, gender identity or expression.

Senior Administrators President, Vice-Presidents, Deputy Provost, Associate Vice-Presidents, Vice-Provosts, Deans, Directors and Chairs.

Protected Grounds Refers to those grounds set out and defined in the *Alberta Human Rights Act* and in the University's *Discrimination, Harassment and Duty to Accommodate Policy (UAPPOL)* which are: race, religious beliefs, colour, gender, gender identity, gender expression, physical disability, mental disability, age, ancestry, place of origin, marital status, source of income, family status, sexual orientations or political beliefs.

University Employment Equity Statement "The University of Alberta is committed to an equitable, diverse, and inclusive workforce. We welcome applications from all qualified persons. We encourage women; First Nations, Métis and Inuit; members of visible minority groups; persons with disabilities; persons of any sexual orientations or gender identity and expression; and all those who may contribute to the further diversification of ideas and the University to apply."

Conflict Conflict of interest, conflict of commitment, or institutional conflict as defined in the University of Alberta Conflict Policy – Conflict of Interest and Commitment and Institutional Conflict Policy

Student "Student" means any student enrolled at the University of Alberta, either full-time or part-time. The term "student" may be preceded by "undergraduate" or "graduate" or "full-time" for clarification.

Person "Person" means any individual selected or elected by the particular group or body referred to and may include faculty members, students, other employees of the University, or persons who are neither students nor employees of the University.

Faculty Member "Faculty Member" means a full-time faculty member (from Category A1.1 or A1.6) who is employed at the University under the terms and conditions of the Board/AASUA Agreement, Schedule A – Academic Faculty Members.

Faculty, Librarians, Faculty Service Officers, Administrative Professional Officers, and Temporary See *Recruitment Policy (Appendix A) Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff (categories A1.0 to A3.4 and D1)*

Postings An internal communication designed for the recruitment of staff placed on the University of Alberta Careers website (careers.ualberta.ca).

Advertisements An external communication designed for the recruitment of staff in appropriate media outside the University to provide the greatest pool of qualified applicants.

Proviso Statement "All qualified candidates are encouraged to apply; however, Canadians and permanent residents will be given priority."

Foreign National Any individual who is not a Canadian Citizen or Permanent Resident of Canada (Permanent Resident must continue to meet residency requirements).

Designated Canadian National Media Print, electronic or other media chosen by the hiring unit to provide the greatest pool of qualified applicants and accepted as Canadian (national) media for the purposes of Service Canada's Labour Market Opinion.

Cross Appointments Individuals appointed from an external organization or institution to work with the University on a full or part-time basis or an individual within the University appointed to an external organization or institution to work on a full or part-time basis. This may also refer to staff under categories A, B, or C under the *Recruitment Policy (Appendix A) Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff* who hold an unpaid appointment in another department on campus.

Search Consultant A member of an external agency contracted by the University to undertake recruitment.

Recruitment Competition A process where qualified candidates are interviewed for a vacant position.

Bona Fide Occupational Requirement An objective criteria related to the skills and qualifications required for the vacant position.

FORMS

There are no forms for this Procedure. [[▲ Top](#)]

RELATED LINKS

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

[University of Alberta Careers \(University of Alberta\)](#)

[Recruitment Policy \(Appendix A\) *Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff*](#)

[Recruitment Policy \(Appendix B\) *Definition and Categories of Support Staff \(UAPPOL\)*](#)

[Equity, Diversity, and Inclusion: Best Practices in Faculty Recruitment and Hiring](#)

Approval Date: May 13, 2011 Effective Date: July 1, 2011

Parent Policy: Recruitment Policy

Support Staff Selection Procedure

Office of Administrative Responsibility: Human Resource Services

Approver: Board of Governors

Scope: Compliance with this university policy/procedure extends to Support Staff as outlined and defined in Recruitment Policy (Appendix B)

Overview

The University of Alberta ("University") is committed to appointing the best-qualified candidates for its employment opportunities and aspires to achieve an equitable, diverse and inclusive community of employees consistent with the mission set out in its Strategic Plan for Equity, Diversity and Inclusivity ("EDI Strategic Plan"). By adopting EDI principles and practices into its support staff selection process, the University hopes to achieve diversity in the workplace and correct employment disadvantages experienced by persons historically under-represented at the University. These principles and practices are designed to ensure that access to the University's employment opportunities is equitable and inclusive by removing employment-related barriers, particularly those based on protected grounds.

Purpose

The purpose of this procedure is to address matters related to the process for support staff selection such as

- advertisements and applications
- references
- selection panel
- interviews, and
- other selection tools.

The Direct Supervisor of the position shall be responsible for ensuring that recruitment and decision-making processes are equitable, appropriately documented, and contribute to an equitable, diverse and inclusive community of employees.

PROCEDURE

1.ADVVERTISEMENT AND APPLICATIONS

a. Any advertisement will describe the required qualifications, skills, abilities, competencies and credentials in an objective, equitable and inclusive way so as to attract applications from persons historically under-represented at the University.

b. Personal information is collected in accordance with the provisions of the Freedom of Information and Protection of Privacy Act (FOIPP).

c. Verification of qualifications, interviews and reference checks will include only those inquiries necessary to determine an applicant's eligibility and suitability for the advertised position.

d. Any costs associated with the collection of required information are the responsibility of the applicant.

e. The Selection Panel must consider whether all reasonable efforts have been made to attract applications from persons historically under-represented and empower the panel to extend the deadline for submitting and receiving applications.

2. REFERENCES

- a. Candidates must complete and sign a Consent for Collection and Verification of Information Form before references can be contacted or information verified.
- b. Reference checks and verification of credentials should be completed before an offer of employment is made.

3. SELECTION PANEL

- a. A panel should include representatives who have expertise on the qualifications or are a stakeholder in the vacant position. Representatives should have an understanding of the skill set required to ensure the candidate has the competencies to successfully fill the position.
- b. It is recommended that each recruitment competition have a selection panel as part of the selection and appointment process. Recommended composition is as follows:
 - i. Direct supervisor of the position;
 - ii. A technical expert, if appropriate;
 - iii. Department Human Resources contact; and
 - iv. Any other appropriate person.
- c. Overall, the panel should consider whether its own composition includes persons historically under-represented relative to the discipline, field, and/or employment or job category of focus and whether additional panel members are needed to address its diversity.
- d. Panel members are responsible for familiarizing themselves with the principles of equity, diversity and inclusivity, the concepts of bias awareness and discrimination as well as the obligations under applicable University policies, such as the *Discrimination, Harassment and Duty to Accommodate Policy*, the University's *Employment Equity Statement* and the EDI Strategic Plan all as may be amended from time to time.
- e. Panel members shall complete conflict of interest declarations, and any identified **conflict of interest** must be managed in accord with University's *Conflict Policy* and its associated procedures.
- f. The Panel chair should
 - ensure the Panel documents practices for ensuring the equitable assessment of candidates
 - employs equitable and inclusive indicators for determining the best-qualified candidate
 - ensure that Panel evaluations are supported by evidence and that each candidate's strengths and weaknesses are evaluated equitably and consistently.

4. INTERVIEWS

- a. All short list criteria for the position must be based on relevant criteria that can meet **the bona fide occupational requirement** test. Evaluation of applicants against criteria should be explicit and documented.

- b. The primary objective of the interview process is to provide short listed candidates an equal opportunity to present their knowledge, skills and qualifications.
- c. To ensure fairness short listed candidates for a position will be interviewed using the same interview plan and information.
- d. Interview questions must be job-related, focusing on the knowledge, skills and abilities of the candidate as they relate to the position.

5. ADDITIONAL SELECTION TOOLS

Other methods such as testing, job related exercises, or second interviews may also be used.

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Advertisements An external communication designed for the recruitment of staff in appropriate media outside the University to provide the greatest pool of qualified applicants.

Proviso Statement "All qualified candidates are encouraged to apply; however, Canadians and permanent residents will be given priority."

Foreign National Any individual who is not a Canadian Citizen or Permanent Resident of Canada (Permanent Resident must continue to meet residency requirements).

Designated Canadian National Media Print, electronic or other media chosen by the hiring unit to provide the greatest pool of qualified applicants and accepted as Canadian (national) media for the purposes of Service Canada's Labour Market Opinion.

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Search Consultant A member of an external agency contracted by the University to undertake recruitment.

Recruitment Competition A process where qualified candidates are interviewed for a vacant position.

Bona Fide Occupational Requirement An objective criteria related to the skills and qualifications required for the vacant position.

FORMS

Should a link fail, please contact uappol@ualberta.ca.

Pre-employment Reference Interview Guide

References - Consent for Collection and Verification of Information Form

RELATED LINKS

Should a link fail, please contact uappol@ualberta.ca.

Employment Standards Code (Government of Alberta)

Post-Secondary Learning Act (Government of Alberta)

Original Approval Date: May 13, 2011 Effective Date: July 1, 2011

Most Recent Approval Date: December 12, 2016

Parent Policy: Recruitment Policy

Support Staff Posting and Advertising Procedure

Office of Administrative Responsibility: Human Resource Services

Approver: Vice-President (Finance and Administration)

Scope:

Compliance with this procedure extends to all Support Staff as outlined and defined in Recruitment Policy (Appendix A S1.0)

Overview

The University of Alberta (“University”) is committed to appointing the best-qualified candidates for its employment opportunities and aspires to achieve an equitable, diverse and inclusive community of employees consistent with the mission set out in its Strategic Plan for Equity, Diversity and Inclusivity (“EDI Strategic Plan”). By adopting EDI principles and practices into its Support Staff Selection process, the University hopes to achieve diversity in the workplace and correct employment disadvantages experienced by persons historically under-represented at the University. These principles and practices are designed to ensure that access to the University’s employment opportunities is equitable and inclusive by removing employment-related barriers, particularly those based on protected grounds. This will require periodic assessment of demographic, intellectual, and other aspects of diversity when contemplating a search.

Purpose

This procedure outlines the steps that must be followed for posting and advertising vacancies in support staff positions. The procedures comply with the Collective Agreement between the Non-Academic Staff Association and the Governors of the University.

PROCEDURE

GENERAL REQUIREMENTS FOR POSTING AND ADVERTISING JOB VACANCIES

Longer than 12 Months

1. Once it has been determined that a vacant position of longer than 12 months in duration will be filled, that position will be posted, unless one of the following occurs in order of precedence:
 - a. There is an individual performing the duties who was appointed by virtue of a posting (change in employee type), or
 - b. The position will be filled due to a duty to accommodate, or
 - c. It is a Non-Academic Staff Association (NASA) bargaining unit position and will be filled

through redeployment or recall, or

d. The parties (NASA and the University) agree to waive the posting procedure on a bargaining unit position. Postings will be on the University of Alberta Careers website for a minimum of five days.

2. For vacancies of 12 months or less:

- a. The vacancy can be posted at the manager's discretion.
- b. The manager may determine that it is appropriate to fill a vacancy that will last 6 to 12 months with a temporary transfer or promotion of a current employee.
 - i. Candidates from the immediate work group are eligible to express their interest.
 - ii. Where the supervisor deems it appropriate, individuals in other work groups may be invited to express their interest.
 - iii. The invitation to apply will normally include;
 1. Position title
 2. Department/Unit
 3. Major responsibilities and accountabilities;
 4. Qualifications, which may include education, experience and/or equivalent combination, knowledge, skills and abilities;
 5. Expected duration;
 6. Salary range;
 7. Deadline date for expression of interest and method of application; and
 8. Information about the selection process.

3. The University is committed to the principle of employment equity and welcomes applications from all qualified persons including persons historically under-represented at the University.

4. A manager may choose to restrict eligibility for a position to applicants internal to the University.

5. Postings and advertisements for vacancies at Faculté Saint-Jean may appear in English, French or both. Where the advertisement is French, it will clearly state the requirement for oral and written competency in English.

6. Advertisements will not precede postings on the University of Alberta Careers website.

7. As per the federal government immigration advertising requirements posting and advertising cannot be waived if foreign national applicants are to be considered.

a. Advertisements must appear in designated Canadian national media.

b. International advertisements must not precede Canadian advertisements. The number of international media advertisements must not exceed the number of Canadian national advertisements.

UNIVERSITY EMPLOYMENT EQUITY STATEMENT

8. All postings and advertisements will include the University Employment Equity Statement. Any advertisement will describe the required qualifications, skills, abilities, competencies and credentials in an objective, equitable and inclusive way.

INITIATING THE PROCESS

9. If the hiring unit uses the services of a search consultant, the consultant must work with Human Resource Services and will follow the approved standards and template for University of Alberta advertisements.

10. Hiring units initiate the posting and advertising process to create a new competition.

11. All postings and advertisements will include:

- a. Position title and type
- b. Department/Unit
- c. Major responsibilities and accountabilities
- d. Qualifications, which may include education, experience and/or equivalent combination, knowledge, skills and abilities;
- e. Term of employment (if applicable)
- f. Salary range
- g. Deadline date for applications, if applicable
- h. Contact information

ROLE OF HUMAN RESOURCE SERVICES

12. Human Resource Services will review and approve all postings and advertising to:

- a. Ensure the content is accurate and reflects the current job through cross referencing the job fact sheet and the job evaluation
- b. Ensure the content is accurate and the information and advertising reflects bona fide occupational requirements and complies with federal government immigration requirements (where applicable)
- c. Confirm the salary range and/or evaluation level
- d. Ensure compliance with the University's posting and advertising standards and templates
- e. Screen for accommodation and recall obligations under the NASA Collective Agreement

ADVERTISING

13. If advertising is required, Human Resource Services will submit the approved advertising copy to the advertising agency for proofs and cost quotes.

14. Upon receipt of the proofs and cost quotes, the hiring unit will advise the advertising agency and Human Resource Services of the approved cost quotes and any final edits to the proof. The cost of advertising is the responsibility of the hiring unit.

15. In selecting advertising venues, the hiring unit should identify relevant venues to reach a diverse pool of prospective qualified applicants.

DEFINITIONS

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

Equity/Equitable In the context of this policy, equity is about fair access to employment and the opportunity to succeed in this domain. Employment equity principles, policies, and practices promote [or facilitate] access, representation, opportunities, and meaningful participation of persons historically under-represented.

Diversity In the context of this policy, diversity refers to the demographic and identity difference and variety within the University's workforce, including that based on the protected grounds. More broadly, within the University, diversity also encompasses difference or variety in education, ideas, perspectives, opinions, heuristics, disciplines, methodologies, epistemologies, faculties, skills, and learning opportunities.

Inclusion/Inclusivity In the context of this policy, inclusion is a principle and practice that values and cultivates the full and meaningful participation and representation of persons historically under-represented in the University's workforce.

Employee(s) A person employed by the University and defined under *Recruitment Policy (Appendix A) Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff* or *Recruitment Policy (Appendix B) Definition and Categories of Support Staff*.

Persons historically under-represented Women, Indigenous persons (First Nations, Métis, Inuit), members of visible minority groups, persons with disabilities, persons who identify with under-represented sexual orientations, gender identity or expression.

Senior Administrators President, Vice-Presidents, Deputy Provost, Associate Vice-Presidents, Vice-Provosts, Deans, Directors and Chairs.

Protected Grounds Refers to those grounds set out and defined in the *Alberta Human Rights Act* and in the University's *Discrimination, Harassment and Duty to Accommodate Policy (UAPPOL)* which are: race, religious beliefs, colour, gender, gender identity, gender expression, physical disability, mental disability, age, ancestry, place of origin, marital status, source of income, family status, sexual orientations or political beliefs.

University Employment Equity Statement "The University of Alberta is committed to an equitable, diverse, and inclusive workforce. We welcome applications from all qualified persons. We encourage women; First Nations, Métis and Inuit; members of visible minority groups; persons with disabilities; persons of any sexual orientations or gender identity and expression; and all those who may contribute to the further diversification of ideas and the University to apply."

Conflict Conflict of interest, conflict of commitment, or institutional conflict as defined in the University of Alberta Conflict Policy – Conflict of Interest and Commitment and Institutional Conflict Policy

Student "Student" means any student enrolled at the University of Alberta, either full-time or part-time. The term "student" may be preceded by "undergraduate" or "graduate" or "full-time" for clarification.

Person "Person" means any individual selected or elected by the particular group or body referred to and may include faculty members, students, other employees of the University, or persons who are neither students nor employees of the University.

Postings An internal communication designed for the recruitment of staff placed on the University of Alberta Careers website (careers.ualberta.ca).

Advertisements An external communication designed for the recruitment of staff in appropriate media outside the University to provide the greatest pool of qualified applicants.

Proviso Statement "All qualified candidates are encouraged to apply; however, Canadians and permanent residents will be given priority."

Foreign National Any individual who is not a Canadian Citizen or Permanent Resident of Canada (Permanent Resident must continue to meet residency requirements).

Designated Canadian National Media Print, electronic or other media chosen by the hiring unit to provide the greatest pool of qualified applicants and accepted as Canadian (national) media for the purposes of Service Canada's Labour Market Opinion.

Cross Appointments Individuals appointed from an external organization or institution to work with the University on a full or part-time basis or an individual within the University appointed to an external organization or institution to work on a full or part-time basis. This may also refer to staff under categories A, B, or C under the *Recruitment Policy (Appendix A) Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff* who hold an unpaid appointment in another department on campus.

Search Consultant A member of an external agency contracted by the University to undertake recruitment.

Recruitment Competition A process where qualified candidates are interviewed for a vacant position.

Bona Fide Occupational Requirement An objective criteria related to the skills and qualifications required for the vacant position.

FORMS

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

RELATED LINKS

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

[University of Alberta Careers \(University of Alberta\)](#)

[Recruitment Policy \(Appendix A\) *Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff*](#)

[U of A Policies and Procedures On-Line \(UAPPOL\)](#)

Acting and Interim Senior Administration Appointment Procedure

Office of Administrative Responsibility: Office of the Provost and Vice-President (Academic)

Approver: Board of Governors

Scope: Compliance with University procedure extends to all members of the University community.

Overview

The University of Alberta (“University”) is committed to appointing the best-qualified candidates for its employment opportunities and aspires to achieve an equitable, diverse and inclusive community of employees consistent with the mission set out in its Strategic Plan for Equity, Diversity and Inclusivity (“EDI Strategic Plan”). By adopting EDI principles and practices into its Support Staff Selection process, the University hopes to achieve diversity in the workplace and correct employment disadvantages experienced by persons historically under-represented at the University. These principles and practices are designed to ensure that access to the University’s employment opportunities is equitable and inclusive by removing employment-related barriers, particularly those based on protected grounds. This will require periodic assessment of demographic, intellectual, and other aspects of diversity when contemplating a search.

The procedure may also be used by Directors of Centres and Institutes, if they so choose.

Purpose

To outline how acting and interim senior administrators are selected.

PROCEDURE

1. ACTING SENIOR ADMINISTRATION

In certain cases, it is appropriate to appoint a person to serve as an acting senior administrator when the “permanent” officer is on leave, etc.

Where it is decided to appoint an acting senior administrator, the selection procedures set out under the Employment

Policy will not be used. Such appointments are made as follows:

a. President

Where it is decided to appoint an Acting President, the appointment is made by the Board of Governors.

b. Vice-President

Where it is decided to appoint an Acting Vice-President, the appointment is made by the Board of Governors on the recommendation of the President.

c. Dean

Where it is decided to appoint an Acting Dean, the appointment is made by the Provost and Vice-President (Academic) on their own initiative.

d. Chair

Where it is decided to appoint an Acting Chair, the appointment is made by the Dean, who advises the Provost and Vice-President (Academic) of the decision.

Normally, an acting senior administrator appointment will not exceed two years.

2. INTERIM SENIOR ADMINISTRATORS

In circumstances where the arrival of the “permanent” officer is delayed, where the “permanent” officer has resigned and a suitable replacement cannot be found, or in the case of academic leaders of new faculties or departments or administrative units, it is appropriate to appoint a person to serve as an interim senior administrator.

Where it is decided to appoint an interim senior administrator, appointments will be made as follows, and the title will remain until such time as a “permanent” officer is in place:

a. President

Where it is decided to appoint an Interim President, the appointment is made by the Board of Governors.

b. Vice-President

Where it is decided to appoint an Interim Vice-President, the appointment is made by the Board of Governors on the recommendation of the President.

c. Dean

Where it is decided to appoint an Interim Dean, the appointment is made by the Provost and Vice-President (Academic) on their own initiative.

d. Chair

Where it is decided to appoint an Interim Chair, the appointment is made by the Dean, who advises the Provost and Vice-President (Academic) of the decision.

Normally, an interim senior administrator appointment will not exceed two years.

DEFINITIONS

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

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Diversity In the context of this policy, diversity refers to the demographic and identity difference and variety within the University’s workforce, including that based on the protected grounds. More broadly, within the University, diversity also encompasses difference or variety in education, ideas, perspectives, opinions, heuristics, disciplines, methodologies, epistemologies, faculties, skills, and learning opportunities.

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Persons historically under-represented Women, Indigenous persons (First Nations, Métis, Inuit), members of visible minority groups, persons with disabilities, persons who identify with under-represented sexual orientations, gender identity or expression.

Senior Administrators President, Vice-Presidents, Deputy Provost, Associate Vice-Presidents, Vice-Provosts, Deans, Directors and Chairs.

Protected Grounds Refers to those grounds set out and defined in the *Alberta Human Rights Act* and in the University's *Discrimination, Harassment and Duty to Accommodate Policy* (UAPPOL) which are: race, religious beliefs, colour, gender, gender identity, gender expression, physical disability, mental disability, age, ancestry, place of origin, marital status, source of income, family status, sexual orientations or political beliefs.

**Governance Executive Summary
Action Item**

Agenda Title	Approval of the Proposed Terms of Reference for a New GFC Programs Committee, and Related Proposed Changes to the Terms of Reference for the GFC Executive Committee and GFC Academic Planning Committee, and the Disbanding of the GFC Academic Standards Committee
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Motion I

THAT the GFC Executive Committee recommend that General Faculties Council approve the proposed terms of reference for a New GFC Programs Committee, as set forth in attachment 1, to take effect on September 1, 2020.

Motion II

THAT the GFC Executive Committee recommend that General Faculties Council approve the proposed changes to the terms of reference for the GFC Executive Committee and the GFC Academic Planning Committee, as set forth in attachments 2 and 3, to take effect on September 1, 2020.

Motion III

THAT the GFC Executive Committee recommend that General Faculties Council disband the GFC Academic Standards Committee, effective September 1, 2020.

Item

Action Requested	<input type="checkbox"/> Approval <input checked="" type="checkbox"/> Recommendation
Proposed by	GFC Executive's <i>ad hoc</i> Committee on Program Approval Processes
Presenter(s)	Tammy Hopper, Vice-Provost (Programs) Yimmie Sonuga, General Faculties Council Secretary

Details

Office of Administrative Responsibility	General Faculties Council
The Purpose of the Proposal is (<i>please be specific</i>)	To seek recommendation of Terms of Reference for a new GFC Programs Committee and related changes to the Terms of Reference for the GFC Executive Committee and Academic Planning Committee and the disbanding of the GFC Academic Standards Committee.
Executive Summary (<i>outline the specific item – and remember your audience</i>)	<p>Background:</p> <p>The <i>ad hoc</i> Committee on Program Approval Processes was established by Exec on January 14, 2019 with the purpose:</p> <p style="padding-left: 40px;">To review current approval processes and propose revised pathways that will be transparent, straightforward and will incorporate the recommendations of the report of the ad hoc committee on Academic Governance including Delegated Authority, and other issues that have arisen since the report was endorsed by GFC.</p> <p>The draft proposal which came forward in the fall of 2019, represented a significant departure from current practice but one that could potentially provide a cohesive, transparent, and streamlined approach to the process. In the proposed pathway, all components (except resources) of</p>

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new and revised programs would come to a single committee for approval.

Structurally, one new standing committee (the GFC Programs Committee) would be added to GFC, the Academic Standards Committee would be disbanded, and GFC Policy Manual Section 37 would be rescinded. Components of program approval would be removed from the terms of reference of APC and Executive. APC would continue to deal with proposals with institution wide implications to the university's longer term academic, research, financial, and facilities development.

Operationally, proposals would receive early support by the Provost's and Registrar's offices during the development stages which would avoid some of the complications seen in the current system of approval which result in slowing the progress of approval, and/or put an additional workload burden on units. Approval would be streamlined as one committee would have delegated authority to approve the various components rather than the current multi-step process. Additionally, proposals which have impact beyond a single faculty would be identified early and appropriate consultation could occur in a timely fashion.

The proposed changes have undergone extensive consultation over the past year and the ad hoc committee has fine-tuned the proposal accordingly. Over the course of the consultation, five themes have become evident:

1. **Authority/Process Mapping** - The need for a clear map of processes to identify pathways for different types of approvals, and authority and go/no go points at every step in the process.
2. **Administration/Governance** - Confusion between the roles of administration and governance is a problem with the current system and the changes should provide a clear distinction to ensure that key administrative work is completed before a proposal enters governance.
3. **Workload/Streamlining** - Concerns with committee workload and cumbersome processes, and a desire for the development of streamlined processes to increase efficiency.
4. **Membership/Representation** - It is important to ensure that the right people are at the table for the designated purpose, and the appropriate lens is applied at every step of the process.
5. **Communication/Transparency** - Ensuring transparency of processes and building a system that allows for ease of communication between points.

Those consulted have been generally supportive of the proposed changes to program approval processes. There is agreement that it is important to strike the appropriate balance of administrative support and governance oversight within a transparent and efficient system. It is also important to note that the community recognizes that these changes are

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	<p>not final but will continue to be revised and improved upon as necessary.</p> <p>An outline of authority and responsibility will provide the foundation for the new structure. Providing clear process maps of program approval processes under the proposed system are key to answering the community's need for transparency in the process.</p> <p><u>Next Steps:</u></p> <p>The Course and Minor Program Circulation Process will continue for a transitional period while undergoing operational streamlining. This process will be led by the Office of the Provost and Vice-President (Academic) with support from University Governance. GFC Policy Manual Section 37 will come forward to be rescinded by GFC in the coming months.</p>
Supplementary Notes and context	<p><i>Proposed changes to the Terms of Reference for the GFC Executive Committee and the GFC Academic Planning Committee are directly related to the recommendations from the ad hoc Committee on Program Approval Processes. These proposed changes will not affect the timeline of the commitment to review GFC Committee Terms of Reference every three years.</i></p>

Engagement and Routing (Include meeting dates)

<p>Consultation and Stakeholder Participation (parties who have seen the proposal and in what capacity)</p> <p><For information on the protocol see the Governance Resources section Student Participation Protocol></p>	<p><u>Those who have been consulted:</u></p> <ul style="list-style-type: none"> • GFC Academic Standards Committee, Sept 19 and Oct 17, 2019, Jan 16 and Apr 16, 2020 • Advisory Committee of Associate Deans Undergraduate, Sept 26, 2019, Jan 23, 2020 • GFC Academic Planning Committee, Sept 25, 2019, Nov 27, 2019, Jan 15 and Apr 15, 2020 • GFC Executive Committee, Oct 7, 2019, Jan 13 and Apr 6, 2020 • General Faculties Council, Oct 21, 2019, Jan 27, 2020 • GFC Executive's Transition Committee, Jan 8, 2020 • GFC Nominating Committee, Feb 12, 2020 • Faculty of Graduate Studies and Research Council, Jan 22, 2020 • FGSR Policy Review Committee, Oct 2, 2019
Approval Route (Governance) (including meeting dates)	<p>GFC Executive Committee, May 11 2020 General Faculties Council, May 25, 2020</p>

Strategic Alignment

Alignment with <i>For the Public Good</i>	<p>Objective 21 Encourage continuous improvement in administrative, governance, planning, and stewardship systems, procedures, and policies that enable students, faculty, staff, and the institution as a whole to achieve shared strategic goals.</p>			
Alignment with Core Risk Area	<p>Please note below the specific institutional risk(s) this proposal is addressing.</p> <table border="0" style="width: 100%;"> <tr> <td style="width: 50%; vertical-align: top;"> <input type="checkbox"/> Enrolment Management <input type="checkbox"/> Faculty and Staff </td> <td style="width: 50%; vertical-align: top;"> <input checked="" type="checkbox"/> Relationship with Stakeholders <input checked="" type="checkbox"/> Reputation </td> </tr> </table>		<input type="checkbox"/> Enrolment Management <input type="checkbox"/> Faculty and Staff	<input checked="" type="checkbox"/> Relationship with Stakeholders <input checked="" type="checkbox"/> Reputation
<input type="checkbox"/> Enrolment Management <input type="checkbox"/> Faculty and Staff	<input checked="" type="checkbox"/> Relationship with Stakeholders <input checked="" type="checkbox"/> Reputation			

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	<input type="checkbox"/> Funding and Resource Management <input type="checkbox"/> IT Services, Software and Hardware <input type="checkbox"/> Leadership and Change <input type="checkbox"/> Physical Infrastructure	<input type="checkbox"/> Research Enterprise <input type="checkbox"/> Safety <input checked="" type="checkbox"/> Student Success
Legislative Compliance and jurisdiction	<i>Post-Secondary Learning Act</i> GFC Executive Committee General Faculties Council	

Attachments

1. GFC Programs Committee Terms of Reference
2. GFC Executive Committee Terms of Reference
3. GFC Academic Planning Committee Terms of Reference
4. What We Heard - Consultation Feedback Document
5. Program Approval Pathways Chart

Prepared by: University Governance



1. Mandate and Role of the Committee

The GFC Programs Committee is a standing committee of General Faculties Council (GFC) charged with oversight on matters related to programs of study and courses.

2. Areas of Responsibility

- a. Introduction, Modification and Termination of Programs and Courses
- b. Admission, Transfer and Academic Standing Regulations
- c. Physical Testing and Immunization of Students
- d. Non-Credit Programs and Courses

All proposals for consideration of the Committee are first submitted to the Provost and Vice-President (Academic) and/or the Faculty of Graduate Studies and Research who will assist with consultation including consideration by the undergraduate or graduate Program Support Team (PST). PST is an administrative committee with a mandate to review proposals and advise the Programs Committee. The Programs Committee will not consider proposals until they have been reviewed by PST and strongly recommends that proposals are considered by the undergraduate or graduate PST before Faculty Council approval.

3. Composition

Voting Members (18)

Ex-officio (5)

- Provost and Vice-President (Academic), Chair
- Vice-Provost and University Registrar
- Vice-Provost and Dean, Faculty of Graduate Studies and Research
- Vice-President (Academic), Graduate Students' Association
- Vice-President (Academic), Students' Union

Elected by GFC (9)

- 5 academic staff elected by GFC (A1.1, 1.5, 1.6, 1.7), at least three of which are members of GFC, at least one of which will have graduate program administration experience. One member, ideally a member of GFC, will be elected by the committee to serve as Vice-Chair.
- 2 staff members at-large (A1.0, A2.0 and/or S1.0, S2.0)
- 1 graduate student, preferably from GFC
- 1 undergraduate student, preferably from GFC

Appointed (4)

- Vice-Provost Indigenous Programming and Research, appointed by the Chair
- Academic staff (A1.1, 1.5, 1.6, 1.7) from Faculté Saint-Jean, appointed by the Dean
- Academic staff (A1.1, 1.5, 1.6, 1.7) from Augustana Faculty, appointed by the Dean
- Academic staff (A1.1, 1.5, 1.6, 1.7) from Faculty of Native Studies, appointed by the Dean

Non-voting Members

- GFC Secretary
- University Secretary

- Associate Dean of Students
- Director Student Ombuds
- Director of Continuing and Professional Education Unit, Faculty of Extension

4. Delegated Authority from General Faculties Council

Should be reviewed at least every three years and reported to GFC.

- 4.1 Introduction, modification and termination of programs and courses
 - a. Approve the introduction and modification of academic programs
 - b. Approve the termination of academic programs and report to GFC and APC for information.
 - c. Approve the introduction, modification, and termination of programs from the Centre collegial de l'Alberta (including all admission/transfer, academic standing/graduation, and related matters)
 - d. Approve the introduction, modification and termination of embedded certificates
 - e. Approve the introduction, modification and deletion of courses
 - f. Approve new course designators

- 4.2 Admission, Transfer and Academic Standing Regulations
 - a. Approve routine changes to admission/transfer and academic standing regulations
 - b. Approve changes to International Baccalaureate (IB) and Advanced Placement (AP) regulations
 - c. Approve (for inclusion in the Alberta Transfer Guide) and deny courses for transfer credit to the University of Alberta which are offered by Alberta Council on Admissions and Transfer (ACAT) member institutions and institutions within the Alberta Postsecondary Six-Sector Model with specific exceptions outlined in the [Transfer Credit Articulation Procedure](#).
 - d. Approve routine changes to Physical Testing and Immunization of Students

- 4.3 Non-Credit Programs and Courses
 - a. Approve the establishment of non-credit programs and associated courses
 - b. Decide on any challenge made to non-credit courses which the Provost and Vice-President (Academic) has been unable to resolve.

5. Responsibilities Additional to Delegated Authority

- 5.1 Introduction, modification or termination of programs and courses
 - a. Review and recommend program suspensions to APC

- 5.2 Admissions, Transfer, and Academic Standing Regulations
 - a. Recommend to GFC on policies regarding admission, registration, academic standing
 - b. Recommend to GFC on changes to admissions, transfer and/or academic standing regulations with institutional scope
 - c. Receive and discuss the Report of the Senate Committee of Lay Observers of the Admissions Process in Quota Programs

6. Sub-delegations from the GFC Programs Committee

Should be reviewed at least every three years and reported to GFC.

6.1 Introduction, modification or termination of programs and courses

- a. *Academic Programs – Graduate Degree Specializations* - All proposals for establishment, suspension and termination of graduate degree second level 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 on an annual basis to the Programs Committee.

6.2 Non-Credit Programs and Courses

- a. Approval of modification, suspension, or termination of non-credit programs and courses is sub-delegated to the Provost and Vice-President (Academic) who will report these on an annual basis to the Programs Committee.

7. Limitations to Authority

The following further refines or places limitations on authorities held by or delegated to the Programs Committee:

7.1 Academic Programs

- a. In cases where a new program represents a new credential for the university, final approval resides with GFC and the Board of Governors
- b. Proposals which involve new space or resources or affect long-range planning shall be referred to the GFC Academic Planning Committee

7.2 Admission, Transfer and Academic Standing Regulations

- a. Substantial changes and those with institutional scope are recommended to GFC

8. Reporting

- 8.1 The Committee should regularly report to GFC with respect to its activities and decisions.

9. Definitions

Program - refers to all credit programs that result in a government approved credential including: degrees, diplomas and certificates

Non-Credit Program – refers to stand-alone programs for professional development and continuing education.

Embedded Certificate – refers to a credit program with a specific area of focus that is completed during the course of an undergraduate or graduate degree program

Routine - refers to proposals which do not involve or affect other Faculties or units and do not form part of a proposal for a new program. Routine changes include any and all changes to the wording of faculty or program specific admissions or academic standing regulations.

Substantial - refers to proposals which involve or affect more than one Faculty or unit; are part of a proposal for a new program; are likely to have a financial impact; represent a definite departure from current policy; involve a quota; articulate a new academic concept.

Dispute - If there is any dispute or question as to which of the above categories a proposal falls under, the Provost and Vice-President (Academic) (or delegate) will decide.

Academic staff – as defined by the [Recruitment Policy \(Appendix A\) Definition and Categories of Academic Staff, Administrators and Colleagues](#)

10. Links

[Admissions Policy](#)

[Transfer Credit Articulation Procedure](#)

[Undergraduate Admissions Procedure](#)

[Academic Standing Policy](#)

[Academic Standing Regulations Procedure](#)

Approved by General Faculties Council:



1. Mandate and Role of the Committee

The Executive Committee is the executive body of General Faculties Council (GFC). It is charged with preparing the GFC agenda and carrying out the functions delegated to it by GFC. The Committee acts on behalf of GFC in areas as defined in the terms of reference. The Chair may bring forward items to the committee for advice.

2. Areas of Responsibility

- a. Act on behalf of General Faculties Council as defined in section 4.1
- b. Preparation of agendas for GFC
- c. Faculty Councils – membership, quorum, control function, sub-delegations
- d. Student Judiciary matters
- e. Academic procedural matters
- f. Governance rules and procedures oversight

3. Composition

Voting Members (14)

Ex-officio (5)

- President, Chair
- Provost and Vice-President (Academic)
- Vice-Provost and University Registrar
- Vice-President (Academic), Graduate Students' Association
- Vice-President (Academic), Students' Union

Elected from and by GFC (9)

- 7 academic staff (A1.1, 1.5, 1.6, 1.7), one of whom will be elected by the committee to serve as Vice-Chair
- 1 Dean
- 1 undergraduate student

Non-Voting Members

- University Secretary
- GFC Secretary

4. Delegated Authority from General Faculties Council

Should be reviewed at least every three years and reported to GFC.

- 4.1 Act on behalf of General Faculties Council on matters that must be decided before the next regularly scheduled GFC meeting and where it is not feasible to call a special meeting of GFC. The committee will first determine if the matter cannot wait and, if so determined, will proceed to consider it and act on behalf of GFC and report on the decision at the next GFC meeting.
- 4.2 Prepare the agenda for all regular and special meetings of General Faculties Council. The committee will receive items from:
 - a. GFC Standing Committees
 - b. GFC members
 - c. University AdministrationThe committee may choose to provide comments to GFC on any agenda items.

4.3 Faculty Councils

- a. Approve composition and quorum provisions of Faculty Councils
- b. Exercise supervision of control functions regarding Faculty Councils (section 29 and 30 of PSLA), with recommendations to GFC when appropriate

4.4 Student Judiciary Matters

- a. Consider changes to Code of Student Behaviour, Code of Applicant Behaviour, Practicum Intervention Policy for approval or placement on GFC agenda
- b. Receive and discuss annual reports on student conduct, including residence discipline statistics, and appeals and place on the GFC agenda for information
- c. Authority to take whatever special measures are necessary to ensure timely and fully-constituted hearing by the University Appeal Board (UAB), Academic Appeals Committee (AAC) and Practice Review Board (PRB)

4.5 Academic Procedures

- a. Approve the Academic Schedule
- b. Provide for the preparation and publication of the University Calendar
- c. Approve changes to wording on Parchments
- d. Approve proposals for consolidated exams
- ~~e. Approve new course designators and re-numbering of courses at the same level~~
- ~~f. Make final decisions on course challenges that cannot be resolved through other means~~

4.6 Governance Procedural Oversight

- a. Ensure delegations from GFC are reviewed at least every 3 years
- b. Make recommendations to GFC regarding terms of reference, composition, and procedures for GFC and its standing committees

5. Responsibilities Additional to Delegated Authority

- 5.1 Joint Summit of the Board and GFC – the chair will consult annually with the committee on the focus and goals of the annual joint meeting

6. Sub-delegations from GFC Executive Committee

Should be reviewed at least every three years and reported to GFC.

Sub-delegations - the following items have been delegated by this committee as noted:

6.1 Academic Procedures

- a. Technical matters relating to the publication of the University Calendar have been sub-delegated to the Registrar
- b. Special arrangements to depart from the official Final Examination Schedule have been sub-delegated to Faculty Councils, subject to challenge by GFC

7. Limitations to Authority

The following further refines or places limitations on authorities held by or delegated to EXEC:

- 7.1 Decisions made on behalf of GFC under section 4.1 must be reported at the next GFC meeting.
- 7.2 In ordering the GFC agenda, the committee will be mindful of student membership terms when considering matters of particular concern to students.

8. Reporting to GFC

The committee should regularly report to GFC with respect to its activities and decisions.

9. Definitions

Academic staff – as defined by the [Recruitment Policy \(Appendix A\) Definition and Categories of Academic Staff, Administrators and Colleagues](#)

10. Related Links

[Academic Schedule Policy](#) and [Procedure](#)
[Consolidated Final Examinations Procedure](#)
[Parchment Procedure](#)
[GFC Policy Manual Section 37: Course and minor program changes](#)
[University Calendar, Regulations](#)

Approved by General Faculties Council: February 25, 2019



1. Mandate and Role of the Committee

The GFC Academic Planning Committee (APC) is a standing committee of GFC charged with oversight of academic planning issues. APC is responsible for considering institution wide implications to the university's longer term academic, research, financial, and facilities development.

The Committee may be called upon to consider or recommend to GFC on any academic or research issue within its mandate and has delegated authority from GFC to provide advice to the Board of Governors on budget matters.

2. Areas of Responsibility

Academic implications of:

~~a.~~ ~~Academic programs~~

~~b.a.~~ Research and research policy

~~b.~~ Academic units and academic service units

~~c.~~ Budget matters

~~d.~~ Quality assurance

~~e.~~ Enrolment management

~~f.~~ Facilities planning

~~h.g.~~ Internationalization policies and initiatives

~~i.h.~~ Indigenous policies and initiatives

~~j.i.~~ Information Technology policies and initiatives

3. Composition

Voting Members (18)

Ex-officio (6)

- Provost and Vice-President (Academic), Chair
- Vice-President (Research)
- Vice-President (Finance and Administration)
- Vice-Provost and University Registrar
- President, Students' Union
- President, Graduate Students' Association

Elected by GFC (12)

- 7 academic staff elected by GFC (A1.1, 1.5, 1.6, 1.7), at least five of which are members of GFC. One member, ideally a member of GFC, will be elected by the committee to serve as Vice-Chair
- 1 Dean
- 1 Department Chair-at-large
- 1 non-academic staff at-large (S1.0)
- 1 undergraduate student from GFC
- 1 graduate student from GFC

NOTE: One academic staff member of the GFC Academic Planning Committee will be elected by the committee for cross appointment to the GFC Facilities Development Committee

Non-voting Members

- University Secretary
- GFC Secretary

4. Delegated Authority from General Faculties Council

Should be reviewed at least every three years and reported to GFC.

4.1 Academic Programs

- ~~a. Approve proposals for academic and non-academic programs which involve new space of resources or affect long-range planning, as recommended by the GFC Programs Committee~~
- ~~a. Approve the establishment of academic programs, the extension and/or substantive revision of existing programs~~
- ~~b. Approve the termination of academic programs~~
- ~~c. Approve certificates from all Faculties, and new non-credit programs and program expansions in the Faculty of Extension, as recommended by ASC, where additional funding and/or space is required~~
- ~~d. Approve the establishment, extension and/or substantive revision of existing programs, and termination of programs from Centre collégial de l'Alberta de l'University of Alberta (including all admission/transfer, academic standing/graduation, and related matters)~~

4.2 Research and Research Policy

- a. Approve the establishment and termination of endowed and funded chairs
- b. Academic Centres and Institutes
 - Approve the establishment of academic centres and institutes
 - Receive notification of the suspension or termination of academic centres and institutes from the Provost and Vice-President (Academic)

4.3 Academic Units and Academic Service Units

- a. Approve name changes to Departments and Divisions

4.4 Budget Matters

- a. Recommend to the Board of Governors on the academic and research implications of the annual budget, excluding budgets for ancillary units

4.5 Enrolment Management

- a. Approve revisions to the Enrolment Management Procedure

5. Responsibilities Additional to Delegated Authority

~~5.1 Academic Programs~~

- ~~a. Recommend to GFC on the suspension of academic programs~~

~~5.12 Research and Research Policy~~

- ~~a. Receive, discuss and provide feedback on research policy issues including research ethics policy. Recommend to GFC on new policy suites and revisions to existing policy~~
- ~~b. Receive, discuss and provide feedback on Centres and Institutes Committee Annual Report~~
- ~~c. Receive, discuss and provide feedback on research performance summaries and reports~~

~~5.23 Academic Units and Academic Service Units~~

- ~~a. Recommend to GFC on name changes of Faculties~~
- ~~b. Recommend to GFC on the establishment and termination of Faculties, Departments, Schools and Divisions, and on mergers involving Faculties, Departments, or Divisions subject to Article 32 of the Faculty Agreement~~
- ~~c. Recommend to the Board of Governors on the assignment of priorities for establishment of new Faculties, Departments or Schools~~

- d. Receive notification of name changes of campus units for information

5.34 Budget Matters

- a. Recommend to GFC on budget principles
- b. Recommend to the Board of Governors on the annual budget (excluding ancillary units)
- c. Recommend to GFC on any new fee that would be levied upon a substantial group of students

5.45 Quality Assurance

- a. Receive and discuss quality assurance reports for academic programs on an annual basis
- b. Receive and discuss reviews of academic and other academic service units
- c. Receive, discuss, and provide feedback on processes for quality assurance and unit reviews

5.56 Enrolment Management

- a. Receive, discuss, and provide feedback on enrolment reports
- b. Recommend to GFC on enrolment management processes

5.67 Facilities Planning

- a. Receive advice and comments from Facilities Development Committee (FDC) on any facilities-related matter including requests for additional space or major new construction projects which may affect academic programs
- b. Informed by advice from FDC, recommend to the Board of Governors on policy matters regarding the planning and use of physical facilities
- c. Informed by advice from FDC, recommend to the Board of Governors on policy matters regarding the use of land owned or leased by the University
- d. Informed by advice from FDC, recommend to the Board of Governors on policy matters regarding standards, systems and procedures for planning and designing physical facilities
- e. Informed by advice from FDC, recommend to the Board of Governors on matters regarding planning and use of physical facilities where these facilities are deemed to have a significant academic or research implications, or financial impact on the University

5.78 International Policies and Initiatives

- a. Receive, discuss, and provide feedback on annual reports and future plans

5.89 Indigenous Policies and Initiatives

- a. Receive, discuss, and provide feedback on annual reports and future plans

5.910 Information Technology Policies and Initiatives

- a. Receive, discuss, and provide feedback on annual reports and future plans

6. Sub-delegations from Academic Planning Committee

Should be reviewed at least every three years and reported to GFC.

~~**6.1 Academic Programs – Graduate Degree Specializations**~~

~~All proposals for establishment, suspension and termination of graduate degree second level 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 APC.~~

7. Limitations to Authority

The following further refines or places limitations on authorities held by or delegated to APC:

~~7.1 Academic Programs~~

~~a. In cases where a new program proposal represents a new credential for the university, final approval resides with the Board of Governors~~

8. Reporting to GFC

The committee should regularly report to GFC with respect to its activities and decisions.

~~The committee should report annually to GFC on programs approved.~~

9. Definitions

The determination of what constitutes a "significant academic or research implication or financial impact" will be made by the Committee, either through an expression of consensus or a vote.

Substantial Group of Students – any one (or more) of the following three classes of students: (a) undergraduate students, (b) doctoral level students, and/or (c) graduate students pursuing studies other than those at doctoral level

Academic Units – include Faculties, Departments, Schools and divisions. Divisions are defined as academic units with authority over student programs. They may be budgetary units and may or may not be part of an existing Department.

Academic Service Units – administrative units, excluding ancillary units, that have academic impact

Academic Centre or Institute – An academic centre or institute exists at the University of Alberta and is controlled by the University of Alberta. An academic centre or institute may exist solely within the University of Alberta or may be created through a partnership between the university and other entities. Such other entities may include other universities, governments, public authorities (such as health authorities), and non-profit organizations.

Academic staff – as defined by the [Recruitment Policy \(Appendix A\) Definition and Categories of Academic Staff, Administrators and Colleagues](#) in UAPPOL

Non-Academic staff – as defined by the [Recruitment Policy \(Appendix B\) Definition and Categories of Support Staff](#) in UAPPOL

10. Links

[Centres and Institutes Policy](#)

Approved by General Faculties Council: April 29, 2019

What We Heard - GFC Executive's ad hoc Committee on Program Approval Processes

CONCLUSIONS:

Themes

Throughout the consultation process, the following common themes have been evident:

Authority/Process Mapping - The need for a clear map of processes to identify pathways for different types of approvals, and authority and go/no go points at every step in the process.

Administration/Governance - Confusion between the roles of administration and governance is a problem with the current system and the changes should provide a clear distinction to ensure that key administrative work is completed before a proposal enters governance.

Workload/Streamlining - Concerns with committee workload and cumbersome processes, and a desire for the development of streamlined processes to increase efficiency.

Membership/Representation - It is important to ensure that the right people are at the table for the designated purpose, and the appropriate lens is applied at every step of the process.

Communication/Transparency - Ensuring transparency of processes and building a system that allows for ease of communication between points.

Those consulted have been generally supportive of the proposed changes to program approval processes. There is agreement that it is important to strike the appropriate balance of administrative support and governance oversight within a transparent and efficient system. It is also important to note that the community recognizes that these changes are not final but will continue to be revised and improved upon as necessary.

Next Steps

An outline of authority and responsibility will provide the foundation for the new structure. Providing clear process maps of program approval processes under the proposed system are key to answering the community's need for transparency in the process.

Timelines for Approval

Closing the loop on consultation and collecting final feedback - ASC and APC - April 2020

FORMAL CONSULTATIONS:

GFC Academic Standards Committee

September 19, 2019

September 26, 2019 (Advisory Committee of Assoc. Deans Ugrad)

October 3, 2019 (ASC Subcommittee on Standards (SOS))

October 17, 2019

January 16, 2020

January 23, 2020 (Advisory Committee of Assoc. Deans Ugrad)

January 30, 2020 (ASC SOS)

April 16, 2020

OVERVIEW

- Concerns with the workload of the Programs Committee if the current work done by two committees, a sub-committee and a circulation process all end up at the Programs Committee
- Ensuring that administrative work on proposals are complete before items enter governance (at an Administrative Support Committee); The need for administrative committee work early in the process
- That streamlining of processes is needed to ensure that workload is manageable
- The importance of leveraging the appropriate expertise in the appropriate forum
- The amount of administrative “heavy lifting” done by ASC SOS and ASC
- Governance oversight should be higher level - not focused on administrative tasks
- How governance committee can be sure that administrative work has already been done
- Communication, links, and balance between Administrative and Governance committees
- Non-credit programs - collaboration and standardization needed
- Whether Grad and Undergraduate matters should be dealt with separately
- How to determine appropriate memberships of the Programs Committee and the Administrative Support Committee
- Procedure for selection of “appointed members”
- Differing opinions of optimal size of the committee - some thought that larger was better to include broad representation, some thought smaller was better and more manageable
- Clarity around go/no go points and authority in program approvals
- Hesitation to send a proposal back to the Faculty once it reaches GFC Committee even if there are concerns

-
- Respect for Faculty autonomy
 - That this is a significant change and will require a lot of work to ensure that it is done right
 - That the current system is not ideal and major change is needed
 - Whether or not the suggested order of proposals, with administrative committee support before Faculty approval, is workable
 - That different proposals require different levels of administrative support depending on the complexity of the item
 - Clarification of the committee composition regarding appointed and resource members
 - How the determination of what is substantive and what is minor is made.

THEMES

1. Authority/Process Mapping
2. Administration/Governance
3. Membership/Representation
4. Workload/Streamlining
5. Transparency/Communication

GFC Academic Planning Committee

September 25, 2019

November 27, 2019

January 15, 2020 (members of ASC SOS were invited to attend)

April 15, 2020

OVERVIEW

- Support for having all the program issues in one committee to make it more efficient and less confusing for program proposers
- The need for clarity around the process for program termination and suspension
- The need for a continued role of APC for program proposals with financial or resource implications, and program issues of institutional significance
- The need for the role of FGSR on graduate program approvals
- The need to monitor the resulting changes in committee workloads
- The need to ensure that administrative assistance is available to proponents
- Support for the rescission of GFC Policy Manual Section 37 as it is antiquated, administratively burdensome and may be in conflict with current policies
- Creating a toolkit to include and evaluate equity, diversity and inclusivity (EDI) content in program proposals
- Determining substantial or minor changes near the beginning of the approval process and who decides what is substantial

-
- Need for graduate student representation at the administrative level committee
 - Number of GFC members and appointed members and the need to strike the right balance
 - Need to consider GFC's Principles of Committee Composition
 - That this was a significant change to the university's program approval process and that there would be a period of transition
 - A reminder that terms of reference are not locked-in forever, should be regularly reviewed, and could be adjusted as required
 - Need expertise on the Programs Committee regarding non-credit programs
 - The need for inclusion of Associate Deans in the membership
 - The importance of administrative work happening to support and strengthen proposals before they go forward for governance approval
 - The importance of ensuring the right people are at the table
 - The potential to include a support staff representative or another representative with experience in the operational side of programs in the composition
 - The delegated authority held by the committee and the sub-delegation of authority to the Dean of the Faculty of Graduate Studies and Research
 - How Equity, Diversity, and Inclusion (EDI), and Indigeneity are considered in program development and approval
 - Language around membership on committees and ensuring EDI
 - The levels of authority around program development, consultation, and approval
 - Clarification of the separation of administrative support on the undergraduate and the graduate side

THEMES

1. Authority/Process Mapping
2. Administration/Governance
3. Membership/Representation
4. Workload/Streamlining
5. Transparency/Communication

GFC Executive Committee

October 7, 2019

January 13, 2020

April 6, 2020

OVERVIEW

- Student input at the level of the administrative support committee

-
- The difference between how graduate and undergraduate programs would be handled
 - GFC Committees are currently doing administrative work and perhaps missing the higher-level governance piece
 - How this process could streamline the entire process
 - Approval of non-credit programs
 - The importance of the expertise of the Associate Deans currently serving on the GFC Academic Standards Committee
 - The oversight of the Centre collégial de l'Alberta

THEMES

1. Membership/Representation
2. Authority/Process Mapping
3. Administration/Governance
4. Workload/Streamlining

General Faculties Council

October 21, 2019

January 27, 2020

OVERVIEW

- the importance of student representation at all levels of the approval process
- the current timelines for approval of new programs

THEMES

1. Membership/Representation
2. Authority/Process Mapping
3. Workload/Streamlining

GFC Executive's Transition Committee

January 8, 2020

OVERVIEW

- New budget model and implications to service courses
- The hope that the new structure will be in place for the fall
- Appropriate administrative coordination and governance oversight

THEMES

1. Authority/Process Mapping
2. Workload/Streamlining
3. Administration/Governance

Faculty of Graduate Studies and Research **October 2, 2019 (Policy Review Committee)** **January 22, 2020 (FGSR Council)**

OVERVIEW

- The need for representation of FGSR in program development and approval
- The process will coincide with modifications that the Vice-Provost and Dean of FGSR is considering for aspects of graduate program approvals
- The need to ensure that there is consistency with any changes in program approval processes at undergraduate and graduate levels

THEMES

1. Administration/Governance
2. Transparency/Communication
3. Authority/Process Mapping

GFC Nominating Committee **February 12, 2020**

OVERVIEW

- “Appointed Members” could be chosen by Dean or Dean’s Council
- Principles of Committee Composition
- How to make the changes acceptable to the community
- Potential big changes to program structure will be coming in new fiscal reality
- Transparency in the process, map everything out
- The desire for representation is a part of the larger culture/mistrust of admin
- Responsibilities of the new committee, what would be sent to APC or elevated to full GFC

THEMES

1. Membership/Representation
2. Transparency/Communication

-
3. Administration/Governance
 4. Authority/Process Mapping

FINAL Item No. 6

**Governance Executive Summary
Action Item**

Agenda Title	University of Alberta Non-Credit Credential Framework
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Motion

THAT the GFC Executive Committee recommend that General Faculties Council approve the University of Alberta Non-Credit Credential Framework.
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Item

Action Requested	<input type="checkbox"/> Approval <input checked="" type="checkbox"/> Recommendation
Proposed by	Tammy Hopper, Vice-Provost (Programs)
Presenter(s)	Tammy Hopper, Vice-Provost (Programs) Christie Schultz, Assistant Dean, Academic, Faculty of Extension

Details

Office of Administrative Responsibility	Provost and Vice-President (Academic)
The Purpose of the Proposal is <i>(please be specific)</i>	The proposal is before the committee for endorsement as the University of Alberta framework for the development of non-credit credentials.
Executive Summary <i>(outline the specific item – and remember your audience)</i>	<p>A Non-credit Credential Framework has been developed to guide program development and provide clarity on what requires approval by General Faculties Council. This initiative supports the strategic priorities of life-long learning, financial sustainability, and community engagement. The development of non-credit credentials is also a means to meet labour market demands and to support skill development.</p> <p>The Non-Credit Credential Framework guides and supports this work through the following principles:</p> <ul style="list-style-type: none"> • Consistency: A common understanding within the university and in communications materials about what constitutes a non-credit credential. • Quality: Guidance available on best practice for professional development in terms of program structure, pedagogy and credentials. • Rigour: A transparent and effective oversight process in place for creation of new credentials. • Ease: Sufficient information and systems in place to support the development of non-credit credentials in a timely, effective, and efficient way. <p>Through the GFC Academic Standards Committee (ASC), and as per its Terms of Reference, GFC has authority to approve the establishment and termination of non-credit certificates, as well as the approval of non-credit programs and program expansions in the Faculty of Extension.</p>
Supplementary Notes and context	<This section is for use by University Governance only to outline governance process.>

Engagement and Routing (Include meeting dates)

Item No. 6

<p>Consultation and Stakeholder Participation (parties who have seen the proposal and in what capacity)</p> <p><For information on the protocol see the Governance Resources section Student Participation Protocol></p>	<p><u>Those who are actively participating:</u></p> <ul style="list-style-type: none"> • Office of the Provost and Vice-President (Academic) • Faculty of Extension • Non-Credit Credential Framework Task Force <p><u>Those who have been consulted:</u></p> <ul style="list-style-type: none"> • University Governance - March 4, 2020 • Director, Academic Budget and Planning – March 10, 2020 • UofA International – March 10, 2020 • Statutory Deans’ Council – April 1, 2020 • Alumni Council – April 6, 2020 • IST – April 8, 2020 • Registrar’s Office – April 8, 2020 • Graduate Students’ Association – via Task Force participation • Students’ Union – via Task Force participation • GFC Executive – March 16, 2020 • GFC Academic Planning Committee – March 18, 2020 • GFC Academic Standards Committee – March 19, 2020 • General Faculties Council – March 30, 2020 • Deans’ Council – April 15, 2020 • GFC Committee on the Learning Environment – April 29, 2020 <p><u>Those who have been informed:</u></p> <ul style="list-style-type: none"> •
<p>Approval Route (Governance) (including meeting dates)</p>	<p>GFC Executive Committee – May 11, 2020 General Faculties Council – May 25, 2020</p>

Strategic Alignment

<p>Alignment with <i>For the Public Good</i></p>	<p>EXPERIENCE diverse and rewarding learning opportunities that inspire us, nurture our talents, expand our knowledge and skills, and enable our success.</p> <p>Objective 10: Expand access to and engagement in the University of Alberta for learners engaging in continuing and professional education programs, experiences, and lifelong learning activities.</p> <p><i>Strategy i.</i> Develop continuing and professional education programs that connect the knowledge-mobilization activities of the university’s faculty members to the needs of diverse learner communities.</p> <p><i>Strategy ii.</i> Create a wide range of opportunities, both in-person and virtual, for broad, learning-centered programs for alumni and other communities of learners engaging in continuing and professional education.</p> <p>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.</p> <p>Objective 16: 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</p>
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Item No. 6

	<p>connections.</p> <p><i>Strategy v.</i> Welcome increased community access, participation, and engagement at all University of Alberta sites, such as our downtown campus at Enterprise Square and our sports facilities at South campus. SUSTAIN our people, our work, and the environment by attracting and stewarding the resources we need to deliver excellence to the benefit of all Albertans.</p> <p>Objective 22: Secure and steward financial resources to sustain, enhance, promote, and facilitate the university's core mission and strategic goals.</p> <p><i>Strategy i.</i> Seek and secure resources needed to achieve and support our strategic goals.</p>		
<p>Alignment with Core Risk Area</p>	<p>Please note below the specific institutional risk(s) this proposal is addressing.</p> <table border="0" data-bbox="553 743 1523 953"> <tr> <td data-bbox="553 743 1073 953"> <input checked="" type="checkbox"/> Enrolment Management <input type="checkbox"/> Faculty and Staff <input checked="" type="checkbox"/> Funding and Resource Management <input type="checkbox"/> IT Services, Software and Hardware <input checked="" type="checkbox"/> Leadership and Change <input type="checkbox"/> Physical Infrastructure </td> <td data-bbox="1073 743 1523 953"> <input checked="" type="checkbox"/> Relationship with Stakeholders <input checked="" type="checkbox"/> Reputation <input type="checkbox"/> Research Enterprise <input type="checkbox"/> Safety <input checked="" type="checkbox"/> Student Success </td> </tr> </table>	<input checked="" type="checkbox"/> Enrolment Management <input type="checkbox"/> Faculty and Staff <input checked="" type="checkbox"/> Funding and Resource Management <input type="checkbox"/> IT Services, Software and Hardware <input checked="" type="checkbox"/> Leadership and Change <input type="checkbox"/> Physical Infrastructure	<input checked="" type="checkbox"/> Relationship with Stakeholders <input checked="" type="checkbox"/> Reputation <input type="checkbox"/> Research Enterprise <input type="checkbox"/> Safety <input checked="" type="checkbox"/> Student Success
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<p>Legislative Compliance and jurisdiction</p>	<p>Post-Secondary Learning Act (PSLA) GFC Academic Planning Committee (APC) Terms of Reference GFC Academic Standards Committee (ASC) Terms of Reference</p>		

Attachments:

1. Attachment 1 – University of Alberta Non-Credit Credential Framework

Prepared by: Suzanne French, Portfolio Initiatives Coordinator, Office of the Provost and Vice-President (Academic), suzanne.french@ualberta.ca

WORKING COPY

	Event (e.g. lecture, workshop, conference)	Courses and micro-courses (non-credit)	Set/Series/Group of Courses (shorter in duration than a certificate - non-credit)	Certificate (non-credit)	Diploma (non-credit)
Approval (Note 1)	Internal Faculty/Provost Approval	Internal Faculty/Provost Approval	Internal Faculty/Provost Approval	General Faculties Council	General Faculties Council
Credential/Nomenclature (Note 2)	Record of Attendance	Record of Completion/Participation (e.g. "[Course Name] Record of Completion")	Record of Achievement/Completion/Participation (e.g. "[Name] Series Record of Achievement")	Certificate (Other names: Non-credit/Continuing Education/Professional Development/Professional/Executive Certificate)	Diploma (Other names: Non-credit/Continuing Education/Professional Development/Professional/Executive Diploma)
Credential Type	Faculty/Provost Credential	Faculty/Provost Credential	Faculty/Provost Credential	Institutional Credential	Institutional Credential
Delivery	Educational Unit or Faculty	Educational Unit or Faculty	Educational Unit or Faculty	Educational Unit or Faculty	Educational Unit or Faculty
Hours (Note 3)	Variable, normally 1/2 day or more	Normally up to 42 hours	Normally up to 99 hours	Normally 100-390 hours	Normally 390 hours or more
Assessment of Learning	No	Typical and encouraged	Typical and encouraged	Yes	Yes
LMS	Variable, if applicable	UAlberta-approved LMS	UAlberta-approved LMS	UAlberta-approved LMS	UAlberta-approved LMS
Grading Scheme (Note 4)	None	Non-graded or graded (alpha-graded or CR/NC)	Non-graded or graded (alpha-graded or CR/NC)	Graded (alpha-graded or CR/NC)	Graded (alpha-graded or CR/NC)
Graduation GPA	N/A	N/A	N/A	2.0 or greater	2.0 or greater
Length of Program	Variable, normally one day or less	Variable - targeted to part-time studies	Variable - targeted to part-time studies	Variable - targeted to part-time studies, normally 9 months - 2 years part-time	Variable - targeted to part-time studies, normally 2-4 years part-time
Approval Pathway (See Note 1)	Department/Unit > Faculty Council or Provost Approval	Department/Unit > Faculty Council or Provost Approval	Department/Unit > Faculty Council or Provost Approval	Department/Unit > Faculty Council or Provost Approval > GFC	Department/Unit > Faculty Council or Provost Approval > GFC
Review Process	Reviewed on regular cycle in Faculty/Unit	Reviewed on regular cycle in Faculty/Unit	Reviewed on regular cycle in Faculty/Unit	Reviewed on regular cycle in Unit/Faculty	Reviewed on regular cycle in Unit/Faculty
Course Change Process (e.g. Course descriptions, hours, etc.)	Variable (often none)	For courses not part of approved programs, desk approval by designated academic staff	For courses not part of approved programs, desk approval by designated academic staff	Reviewed/approved on regular cycle in Unit/Faculty. Faculties are asked to provide, on an annual basis, a list of updated program changes to the Provost and Vice-President (Academic) by July 1 of each year.	Reviewed/approved on regular cycle in Unit/Faculty. Faculties are asked to provide, on an annual basis, a list of updated program changes to the Provost and Vice-President (Academic) by July 1 of each year.

WORKING COPY

	Event (e.g. lecture, workshop, conference)	Courses and micro-courses (non-credit)	Set/Series/Group of Courses (shorter in duration than a certificate - non-credit)	Certificate (non-credit)	Diploma (non-credit)
Suspension/Termination Process	Variable (often none)	Variable for courses that are not offered as part of established certificate or diploma programs. For courses offered as part of a program, additional program change processes may need to be followed.	Variable for courses that are not offered as part of established certificate or diploma programs. For courses offered as part of a program, additional program change processes may need to be followed.	Department/Unit > Faculty Council or Provost Approval > GFC (for information). Students are normally notified and given 1-2 years to complete their program.	Department/Unit > Faculty Council or Provost Approval > GFC (for information). Students are normally notified and given 2-3 years to complete their program.
Typical Entrance Requirements	Variable (often none)	Variable (often none)	Variable (often none)	Variable (prerequisites may be required)	Variable (prerequisites normally required)
Admission Process	Variable (up to the individual unit)	Application/admission/registration support through the Continuing Education Career in Campus Solutions	Application/admission/registration support through the Continuing Education Career in Campus Solutions (Note 5)	Application/admission/registration support through the Continuing Education Career in Campus Solutions	Application/admission/registration support through the Continuing Education Career in Campus Solutions
Tuition	Variable (may be none)	Variable	Variable	Tuition is established when the program is approved and may be adjusted by the Delivery Unit*/Faculty. Non-credit programming is cost recovery and may be revenue generating	Tuition is established when the program is approved and may be adjusted by the Delivery Unit*/Faculty. Non-credit programming is cost recovery and may be revenue generating
GST	Attracts GST	Courses that do not lead to a GFC approved certificate or diploma attract GST	Courses that do not lead to a GFC approved certificate or diploma attract GST	No GST	No GST
T2202	Not issued	Tuition paid for courses that lead to a GFC approved certificate or diploma trigger a T2202	Tuition paid for courses that lead to a GFC approved certificate or diploma trigger a T2202	T2202 issued per CRA regulations	T2202 issued per CRA regulations
Ladder/Transfer	May ladder into other non-credit programs. An intaking department or Faculty may accept the course for credit based on normal transfer credit procedures.	May ladder into other non-credit programs. An intaking department or Faculty may accept the course for credit based on normal transfer credit procedures.	May ladder into other non-credit programs. An intaking department or Faculty may accept the course for credit based on normal transfer credit procedures.	May ladder into other non-credit programs. An intaking department or Faculty may accept the course for credit based on normal transfer credit procedures.	May ladder into other non-credit programs. An intaking department or Faculty may accept the course for credit based on normal transfer credit procedures.
Transcripts/Student Record	Variable (up to the individual unit)	Non-credit transcript is available. Does not appear on credit transcripts. A student record is kept in the Continuing Education Career in Campus Solutions.	Non-credit transcript is available. Does not appear on credit transcripts. A student record is kept in the Continuing Education Career in Campus Solutions.	Non-credit transcript is available. Does not appear on credit transcripts. A student record is kept in the Continuing Education Career in Campus Solutions.	Non-credit transcript is available. Does not appear on credit transcripts. A student record is kept in the Continuing Education Career in Campus Solutions.
Parchments	Delivery Unit*/ Faculty uses a standard University of Alberta template to create a notice/record of attendance if one is awarded	Delivery Unit*/ Faculty uses a standard University of Alberta template to create a notice/record of completion/recognition/participation if one is awarded	Delivery Unit*/ Faculty uses a standard University of Alberta template to create a certificate if one is awarded	Parchment is issued through the Registrar's Office	Parchment is issued through the Registrar's Office

WORKING COPY

	Event (e.g. lecture, workshop, conference)	Courses and micro-courses (non-credit)	Set/Series/Group of Courses (shorter in duration than a certificate - non-credit)	Certificate (non-credit)	Diploma (non-credit)
Convocation / Graduation	Does not participate in Convocation. Some programs may offer a learning recognition ceremony.	Does not participate in Convocation. Some programs may offer a learning recognition ceremony.	Does not participate in Convocation. Some programs may offer a learning recognition ceremony.	Does not participate in Convocation. May participate in a centralized graduation ceremony hosted by the University.	Does not participate in Convocation. May participate in a centralized graduation ceremony hosted by the University.
International Students (Note 6)	International students must comply with all visitor, visa, and study permit requirements.	International students must comply with all visitor, visa, and study permit requirements.	International students must comply with all visitor, visa, and study permit requirements.	International students must comply with all visitor, visa, and study permit requirements.	International students must comply with all visitor, visa, and study permit requirements.
Consultation with the Vice-Provost Indigenous Programming and Research	Appropriate consultation is encouraged.	Appropriate consultation is encouraged.	Appropriate consultation is encouraged.	All proposals must come to the Office of the Provost prior to Faculty Council Approval to discuss consultation routing.	All proposals must come to the Office of the Provost prior to Faculty Council Approval to discuss consultation routing.
Inter-Faculty Consultation	Appropriate consultation is encouraged.	Appropriate consultation is encouraged.	Appropriate consultation is encouraged.	All proposals must come to the Office of the Provost prior to Faculty Council	All proposals must come to the Office of the Provost prior to Faculty Council

* Delivery Unit refers to any unit teaching the non-credit program

Notes:

- For units embedded within Faculties (e.g. Departments, Centres, Institutes), approval is required by the Faculty Council. For academic units reporting to the Provost, Provost-level approval is required. Initial review or delegation to committees established by Faculty Councils is encouraged. For certificates and diplomas, routing through GFC's approval pathways follows Faculty Council approval. For units that are not part of Faculties who wish offer credentials smaller than a certificate, approval is through the Office of the Provost.
- The term "Executive certificate," while not required, is reserved for use when the admission criteria is a minimum of an undergraduate degree.
- Access to the Canada-Alberta Job Grant requires that learning is greater than 21 hours in length. <https://www.alberta.ca/canada-alberta-job-grant.aspx>
- Individual courses that are intended to count towards an approved certificate or diploma must be graded, either alpha-graded or on a pass/fail basis (CR/NC, i.e. "completed requirements" or "not completed")
- Set/Series/Groups - Admission to these do not currently exist in Campus Solutions. A communication record is noted in Campus Solutions that can be used to track students who completed the series. Campus Solutions is not, at present, set up to 'Complete' programs that are not confirmed by the convocation/graduation process. When approved (by GFC) credentials are granted in Campus Solutions the 'completion' row is added. If we are hoping to obtain this level in the future, some changes to Campus Solutions would be required.
- International students must comply with all visitor, visa, and study permit requirements. The University of Alberta is awaiting updates to the Alberta Designation Requirements (ADR). Currently programs less than 6 months and with no work component are outside the scope of the ADR as no study permit is required for students to enrol in these programs. For non credit programs greater than 6 months in duration or those with a work/internship/practicum component, it is expected that GFC approval will be a requirement for enrolling international students in these programs. Units considering developing such programs should consult with UAI on immigration requirements. Students are not eligible for post-graduation work permits after completion of any non-credit/micro-credential program.

FINAL Item No. 9

Governance Executive Summary
Action Item

Agenda Title	Draft Agenda for the May 25, 2020 Meeting of General Faculties Council (GFC)
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Motion

THAT the GFC Executive Committee approve, under delegated authority from General Faculties Council, the Agenda for the May 25, 2020 meeting of General Faculties Council, as set forth in Attachment 1.

Item

Action Requested	<input checked="" type="checkbox"/> Approval <input type="checkbox"/> Recommendation
Proposed by	David Turpin, President and Chair, GFC Executive Committee
Presenter(s)	David Turpin, President and Chair, GFC Executive Committee

Details

Responsibility	GFC Executive Committee
The Purpose of the Proposal is <i>(please be specific)</i>	To approve the Agenda for the GFC meeting to be held on Monday, May 25, 2020.
Executive Summary <i>(outline the specific item – and remember your audience)</i>	The GFC Executive Committee is responsible for the preparation of the agenda for all regular and special meetings of General Faculties Council, ensuring items are ready to be presented to GFC and are ordered and timed appropriately.
Supplementary Notes	

Engagement and Routing (Include meeting dates)

Consultation and Stakeholder Participation (parties who have seen the proposal and in what capacity)	<i>Those who are actively participating:</i> David Turpin, President and Vice-Chancellor and Chair, GFC Executive Committee Office of the President Office of the Provost and Vice-President (Academic) University Governance GFC Executive Committee
Approval Route (Governance)	GFC Executive Committee – May 11, 2020

Strategic Alignment

Alignment with <i>For the Public Good</i>	Objective 21		
Alignment with Institutional Risk Indicator	Please note below the specific institutional risk(s) this proposal is addressing. <table border="0" style="width: 100%;"> <tr> <td style="vertical-align: top;"> <input type="checkbox"/> Enrolment Management <input type="checkbox"/> Faculty and Staff <input type="checkbox"/> Funding and Resource Management <input type="checkbox"/> IT Services, Software and Hardware <input checked="" type="checkbox"/> Leadership and Change <input type="checkbox"/> Physical Infrastructure </td> <td style="vertical-align: top;"> <input type="checkbox"/> Relationship with Stakeholders <input type="checkbox"/> Reputation <input type="checkbox"/> Research Enterprise <input type="checkbox"/> Safety <input type="checkbox"/> Student Success </td> </tr> </table>	<input type="checkbox"/> Enrolment Management <input type="checkbox"/> Faculty and Staff <input type="checkbox"/> Funding and Resource Management <input type="checkbox"/> IT Services, Software and Hardware <input checked="" type="checkbox"/> Leadership and Change <input type="checkbox"/> Physical Infrastructure	<input type="checkbox"/> Relationship with Stakeholders <input type="checkbox"/> Reputation <input type="checkbox"/> Research Enterprise <input type="checkbox"/> Safety <input type="checkbox"/> Student Success
<input type="checkbox"/> Enrolment Management <input type="checkbox"/> Faculty and Staff <input type="checkbox"/> Funding and Resource Management <input type="checkbox"/> IT Services, Software and Hardware <input checked="" type="checkbox"/> Leadership and Change <input type="checkbox"/> Physical Infrastructure	<input type="checkbox"/> Relationship with Stakeholders <input type="checkbox"/> Reputation <input type="checkbox"/> Research Enterprise <input type="checkbox"/> Safety <input type="checkbox"/> Student Success		
Legislative Compliance and jurisdiction	<i>Post-Secondary Learning Act (PSLA)</i> GFC Executive Committee Terms of Reference		

Attachment 1: Draft Agenda for the General Faculties Council Meeting of May 25, 2020