

The following Motions and Documents were considered by the Board of Governors during the Open Session of its Friday, June 17, 2016 meeting:

Agenda Title: **The Richard Husfloen Centre – Disposition of Land and Order in Council**

APPROVED MOTION: THAT the Board of Governors, on the recommendation of the Board Finance and Property Committee:

- a) approve, on terms and conditions acceptable to the Vice-President (Facilities and Operations), the disposition of property known as The Richard Husfloen Centre, located at 4302 38 Street in the City of Camrose, Alberta, legally described as Lot 16 Block 3 Plan 7720714 all within Camrose, Alberta, for the approximate sale price of three million, five hundred thousand dollars (\$3.5 Million); and,
- b) make an application to the Minister of Infrastructure for the required approval from the Lieutenant Governor in Council for the granting of the disposition as set forth in Attachment 4.

Final Item: 3ci.

Agenda Title: **Hiram Holdings Property – Acquisition of Land**

APPROVED MOTION: THAT the Board of Governors, on the recommendation of the Board Finance and Property Committee, approve the acquisition of 4512 – 47 Street, Camrose, Alberta, adjacent to the University of Alberta's Augustana Campus, on terms and conditions acceptable to the Vice-President (Facilities and Operations).

Final Item: 3cii.

Agenda Title: **Fletcher Property – Rescission of Previous Motion and Acquisition of Lands**

APPROVED MOTION 1: THAT the Board of Governors, on the recommendation of the Board Finance and Property Committee, rescind the following Board Finance and Property Committee-approved motion of March 1, 2016:

THAT the Board Finance and Property Committee, acting with delegated authority of the Board of Governors, approve the acquisition of approximately twenty-seven (27) acres of land, adjacent to the University's Devonian Botanic Garden, located in the County of Parkland, Alberta, on terms and conditions acceptable to the Vice-President (Facilities and Operations).

APPROVED MOTION 2: THAT the Board of Governors, on the recommendation of the Board Finance and Property Committee, approve the acquisition of approximately thirty-nine (39) acres of land legally described as Lots A & B Plan 3701RS from Catherine Mary Fletcher, on terms and conditions acceptable to the Vice-President (Facilities and Operations).

Agenda Title: **Fletcher Property – Rescission of Previous Motion and Acquisition of Lands (continued)**

APPROVED MOTION 3: THAT the Board of Governors, on the recommendation of the Board Finance and Property Committee, approve, upon the acquisition of Lots A & B Plan 3701RS, the transfer back, without the Board of Governors taking beneficial ownership, of approximately twelve (12) acres of land to Catherine Mary Fletcher, on terms and conditions acceptable to the Vice-President (Facilities and Operations).

Final Item: 3ciii.

Agenda Title: **University of Alberta Students' Union 2016/2017 Operating / Referendum Fees**

APPROVED MOTION: THAT the Board of Governors, on the recommendation of the Board Finance and Property Committee:

- a) rescind the following motion originally approved on May 13, 2016:

THAT the Board of Governors, on the recommendation of the Board Finance and Property Committee, approve the collection of the University of Alberta Students' Union Fee Schedule 1 for 2016/2017, as set forth in Attachment 1 of the agenda documentation, to take effect September 1, 2016.

and, concurrently,

- b) approve the collection of the revised University of Alberta Students' Union Fee Schedule 1 for 2016/2017, as set forth in Attachment 1 of the agenda documentation, effective September 1, 2016.

Final Item: 3civ.

Agenda Title: **Board Human Resources and Compensation Committee Terms of Reference**

APPROVED MOTION: THAT the Board of Governors, on the recommendation of the Board Human Resources and Compensation Committee, approve the proposed changes to the Committee's Terms of Reference, as set forth in Attachment 1.

Final Item: 3di.

Agenda Title: **Proposed New Copyright Regulations**

APPROVED MOTION: THAT the Board of Governors, on the recommendation of the Board Human Resources and Compensation Committee, Board Learning and Discovery Committee, and General Faculties Council, approve the proposed new Copyright Regulations for the various Academic Staff Agreements.

Final Item: 3ei.

Agenda Title: **Proposal to Establish a Department of Critical Care Medicine and the Concurrent Termination of the Division of Critical Care Medicine, Faculty of Medicine and Dentistry**

APPROVED MOTION: THAT the Board of Governors, on the recommendation of the Board Learning and Discovery Committee and General Faculties Council, approve the establishment of a Department of Critical Care Medicine, as submitted by the Faculty of Medicine and Dentistry and as set forth in Attachment 1, and the concurrent termination of the Division of Critical Care Medicine, to take effect July 1, 2016.

Final Item: 3fi.

Agenda Title: **University of Alberta Annual Report to the Government of Alberta**

APPROVED MOTION: THAT the Board of Governors, on the recommendation of the Board University Relations Committee, approve and adopt the *University of Alberta 2015-2016 Annual Report* and empower the Associate Vice-President (Audit & Analysis) to make any editorial changes to the *Report*, as needed, as long as the changes do not have the force of policy.

Final Item: 3gi.

Agenda Title: **Institutional Strategic Plan: *For the Public Good***

APPROVED MOTION: THAT the Board of Governors, on the recommendation of the Board Learning and Discovery Committee and General Faculties Council, approve the Institutional Strategic Plan: *For the Public Good*, as set forth in Attachment 1, to be effective upon approval, and empower administration to make any editorial changes to the plan, as needed, as long as the changes do not have the force of policy.

Final Item: 4a.

Agenda Title: **Board Committee Appointments**

APPROVED MOTION: THAT the Board of Governors, on the recommendation of the Board Chair, Mr Michael Phair, approve Board Committee appointments, as set forth in Attachment 1 to the agenda documentation.

Final Item: 5a.

OUTLINE OF ISSUE

Agenda Title: **The Richard Husfloen Centre – Disposition of Land and Order in Council**

Motion: THAT the Board of Governors, on the recommendation of the Board Finance and Property Committee:

- a) approve, on terms and conditions acceptable to the Vice-President (Facilities and Operations), the disposition of property known as The Richard Husfloen Centre, located at 4302 38 Street in the City of Camrose, Alberta, legally described as Lot 16 Block 3 Plan 7720714 all within Camrose, Alberta, for the approximate sale price of three million, five hundred thousand dollars (\$3.5 Million); and,
- b) make an application to the Minister of Infrastructure for the required approval from the Lieutenant Governor in Council for the granting of the disposition as set forth in Attachment 4.

Item

Action Requested	<input checked="" type="checkbox"/> Approval <input type="checkbox"/> Recommendation <input type="checkbox"/> Discussion/Advice <input type="checkbox"/> Information
Proposed by	Facilities and Operations
Presenter	Don Hickey, Vice-President (Facilities and Operations)
Subject	The disposition of university lands, known as the Richard Husfloen Centre, located at 4302 38 Street in the City of Camrose, Alberta

Details

Responsibility	Vice-President (Facilities and Operations)
The Purpose of the Proposal is (please be specific)	That the Board of Governors approve the sale of the Richard Husfloen Centre
The Impact of the Proposal is	To support an interdisciplinary approach with the other Health Sciences Faculties located on the Augustana Campus, by relocating the Bachelor of Science in Nursing (BScN) – After Degree Program, from its current remote location, to a permanent dedicated space on Augustana Campus
Replaces/Revises (eg, policies, resolutions)	N/A
Timeline/Implementation Date	Winter 2016
Estimated Cost	No cost
Sources of Funding	N/A
Notes	See Attachment 1

Alignment/Compliance

Alignment with Guiding Documents	Long Range Development Plan
Compliance with Legislation, Policy and/or Procedure Relevant to the Proposal (please quote legislation and include identifying section numbers)	<p><u>Post-secondary Learning Act</u></p> <p><i>Post-secondary Learning Act (PSLA), Section 67(1.1) A board shall not, without the prior approval of the Lieutenant Governor in Council,(a) sell or exchange any interest in land, other than donated land, that is held by and being used for the purposes of the board.</i></p> <p><u>BFPC Terms of Reference – Sections 3 and 4 state:</u></p> <p><u>3. MANDATE OF THE COMMITTEE</u> <i>Except as provided in paragraph 4 and in the Board’s General Committee Terms of Reference, the Committee shall monitor, evaluate,</i></p>

Item No. 3ci

	<p><i>advise and make decisions on behalf of the Board with respect to all strategic and significant financial and property matters and policies of the University. The Committee shall also consider any other matter delegated to the Committee by the Board.</i></p> <p><i>Without limiting the generality of the foregoing, the Committee shall:</i></p> <p><i>g) review and recommend to the Board the acquisition or disposal of real property, including lands transferred to University of Alberta Properties Trust Inc.</i></p> <p>4. <u>LIMITATIONS ON DELEGATION BY THE BOARD</u></p> <p><i>The general delegation of authority by the Board to the Committee shall be limited as set out in this paragraph. Notwithstanding the general delegation of authority to the Committee set out in paragraph 3, the Board shall:</i></p> <p><i>g) approve the acquisitions or disposal of real property including lands transferred to the University of Alberta Trust Inc.</i></p> <p>UAPPOL; Real Property Compliance Policy, Real Property Disposition Procedure: https://policiesonline.ualberta.ca/PoliciesProcedures/Policies/Real-Property-Compliance-Policy.pdf</p>
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Routing (Include meeting dates)

<p>Consultative Route (parties who have seen the proposal and in what capacity)</p> <ul style="list-style-type: none"> • Those who have been informed • Those who have been consulted • Those who are actively participating 	<p>Vice-President (Facilities and Operations) Dean, Augustana Campus, University of Alberta Dean, Faculty of Nursing, University of Alberta Director, Space Management, Facilities and Operations, University of Alberta</p>
<p>Approval Route (Governance) (including meeting dates)</p>	<p>Board Finance and Property Committee – May 31, 2016 (for recommendation) Board of Governors – June 17, 2016 (for approval)</p>
<p>Final Approver</p>	<p>Board of Governors</p>

Attachments:

1. Briefing Note – Richard Husfloen Centre – Disposition of Land (2 pages)
2. Site Map – Richard Husfloen Centre (1 page)
3. Google Map (1 page)
4. Board Resolution (1 page)

Richard Husfloen Centre – Disposition of Land

Background

The Richard Husfloen Centre is a light industrial building on 6.7 acres of land acquired by the University of Alberta in 2004 as part of the acquisition of the Camrose Lutheran College, now the Augustana Campus. The building is some distance from the Augustana Campus in a light industrial neighbourhood in the City of Camrose.

The Faculty of Nursing After Degree Program is currently housed in the Richard Husfloen Centre, which also serves as campus storage space; the 6.76 acre yard, not used by the campus, is rented to a third party.

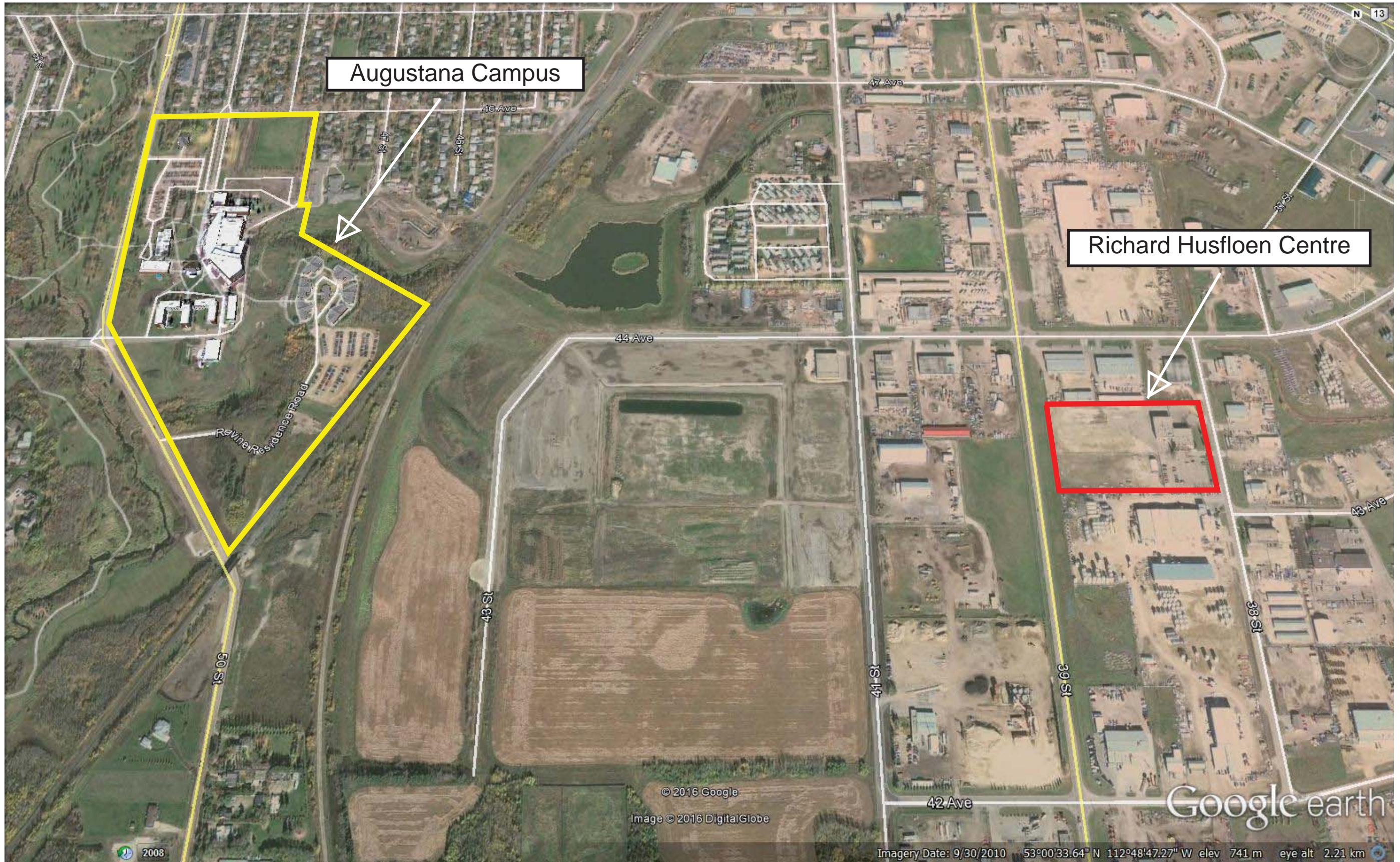
Issues

The BScN After Degree Program currently encompasses the first floor of the Richard Husfloen Centre, which includes smart classrooms, a high-fidelity simulation suite, a nursing skills lab and a patient care-ready environment. There is a need for an interdisciplinary approach with the other Health Sciences Faculties located at Augustana Campus. It is, therefore, important that the BScN After Degree Program has a permanent dedicated space on the Augustana Campus, which will provide access to other Health Sciences colleagues, students and research, student amenities, libraries and gyms. This approach will enhance the learning experience and connection to the University of Alberta for the BScN students and instructors.

The sale of the Richard Husfloen Centre will provide financial support for the relocation of this important Degree program to the main campus.

Recommendation

That the Board Finance and Property Committee recommend that the Board of Governors approve, on terms and conditions acceptable to the Vice-President (Facilities and Operations), the disposition of the above noted property and make an application to the Minister of Infrastructure for the required approval from the Lieutenant Governor in Council for the granting of the disposition.



Augustana Campus

Richard Husfloen Centre

Attachment 2
Site Plan - Richard Husfloen Centre Property

Google Maps 4302 38 St



RESOLUTION OF The Governors of The University of Alberta

(“Board of Governors”)

IT IS HEREBY RESOLVED:

THAT, subject to the prior approval of the Lieutenant Governor in Council under section 67 of the *Post-secondary Learning Act*, The Governors of The University of Alberta authorizes and approves to sell its interest in 4302 38 Street, Camrose, Alberta, legally described as Lot 16 Block 3 Plan 7720714, which are surplus to the needs of **The University of Alberta**.

I hereby certify that this resolution has full force and effect on the _____ day of _____, 20_____.

Chair, The Governors of The University of Alberta

OUTLINE OF ISSUE

Agenda Title: **Hiram Holdings Property – Acquisition of Land**

Motion: THAT the Board of Governors, on the recommendation of the Board Finance and Property Committee, approve the acquisition of 4512 – 47 Street, Camrose, Alberta, adjacent to the University of Alberta’s Augustana Campus, on terms and conditions acceptable to the Vice-President (Facilities and Operations).

Item

Action Requested	<input checked="" type="checkbox"/> Approval <input type="checkbox"/> Recommendation <input type="checkbox"/> Discussion/Advice <input type="checkbox"/> Information
Proposed by	Facilities and Operations
Presenter	Don Hickey, Vice-President (Facilities and Operations)
Subject	Acquisition of land adjacent to the Augustana Campus

Details

Responsibility	Vice-President (Facilities and Operations)
The Purpose of the Proposal is (please be specific)	To approve the pending acquisition of 4512 - 47 Street, Camrose, Alberta, a residential lot contiguous to the Augustana Land Bank
The Impact of the Proposal is	The acquisition would complete ownership of the square block known as the Augustana land bank.
Replaces/Revises (eg, policies, resolutions)	N/A
Timeline/Implementation Date	2016
Estimated Cost	Approximately \$250,000.00
Sources of Funding	Real Property Proceeds account
Notes	The Augustana Land Bank was derived from the purchase of the Bethany Lands by the University in April 2006 as a land bank for the future expansion of the Augustana Campus. At the time of the purchase, three (3) privately owned lots remained on the south east corner of the Bethany Lands; one was purchased in 2007, one was purchased in 2010, and this purchase is the last house in the square block that is not currently owned by the university.

Alignment/Compliance

Alignment with Guiding Documents	Long Range Development Plan
Compliance with Legislation, Policy and/or Procedure Relevant to the Proposal (please quote legislation and include identifying section numbers)	<p><u>Post-secondary Learning Act (PSLA)</u></p> <p><i>Section 66.1 - A board may acquire any interest in land for the purposes of the board in conducting the affairs of the public post-secondary institution.</i></p> <p><u>BFPC Terms of Reference – Sections 3 and 4 state:</u></p> <p><u>3. MANDATE OF THE COMMITTEE</u></p> <p><i>Except as provided in paragraph 4 and in the Board’s General Committee Terms of Reference, the Committee shall monitor, evaluate, advise and make decisions on behalf of the Board with respect to all strategic and significant financial and property matters and policies of the University. The Committee shall also consider any other matter delegated to the Committee by the Board.</i></p> <p><i>Without limiting the generality of the foregoing, the Committee shall:</i></p> <p><i>g) review and recommend to the Board the acquisition or disposal of real</i></p>

Item No. 3cii

	<p><i>property, including lands transferred to University of Alberta Properties Trust Inc.</i></p> <p>4. <u>LIMITATIONS ON DELEGATION BY THE BOARD</u></p> <p><i>The general delegation of authority by the Board to the Committee shall be limited as set out in this paragraph. Notwithstanding the general delegation of authority to the Committee set out in paragraph 3, the Board shall:</i></p> <p><i>g) approve the acquisitions or disposal of real property including lands transferred to the University of Alberta Trust Inc.</i></p> <p>UAPPOL: Real Property Compliance Policy, Real Property Acquisition Procedure: https://policiesonline.ualberta.ca/PoliciesProcedures/Policies/Real-Property-Compliance-Policy.pdf</p> <p>UAPPOL: Schedule A - Signing Authority for Contractual Obligations on Behalf of the Board of Governors of the University of Alberta Signing Authority Policy Schedule A</p>
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Routing (Include meeting dates)

<p>Participation: (parties who have seen the proposal and in what capacity)</p> <ul style="list-style-type: none"> • Those who have been informed • Those who have been consulted • Those who are actively participating 	Vice-President, Facilities and Operations
Approval Route (Governance) (including meeting dates)	Board Finance and Property Committee (for recommendation) – May 31, 2016 Board of Governors (for approval) – June 17, 2016
Final Approver	Board of Governors

Attachments:

1. Briefing Note – Hiram Holdings Property – Acquisition of Land (1 page)
2. Site Plan – Hiram Holdings Property (2 pages)

Prepared by:

R. Craig Moore, Director
Real Estate Services
University of Alberta
Email: craig.moore@ualberta.ca

Revised: 6/9/2016

Hiram Holdings Property – Acquisition of Land

Background

The Augustana Land Bank was derived from the purchase of the Bethany Lands by the University in April 2006 as a land bank for the future expansion of the Augustana Campus. At the time of the purchase, three (3) privately owned lots remained on the south east corner of the Bethany Lands, which encompassed a square block of houses and one small apartment. In the briefing to the Board of Governors in 2006, the purchase of the Bethany Lands included the desirability of purchasing the additional three privately owned lots as they became available. An opportunity arose in 2007 for the purchase of one of the houses, and again in 2010 for another of the houses; both were purchased. The final property has now become available for purchase.

Funding required for the acquisition of this property is estimated at approximately \$250,000.00. This cost includes the purchase price, as well as a contingency for estimated soft costs for such things as an environmental assessment.

Once this last house is purchased, the university will own the Augustana land bank, including the square block adjacent to the Augustana campus, which will allow great flexibility for the university to develop the property for the Augustana campus' future requirements.

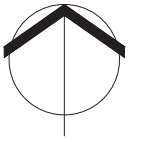
Recommendation

That the Board Finance and Property Committee recommend that the Board of Governors approve, on terms and conditions acceptable to the Vice-President (Facilities and Operations), the acquisition of the above noted property.

Attachment 2

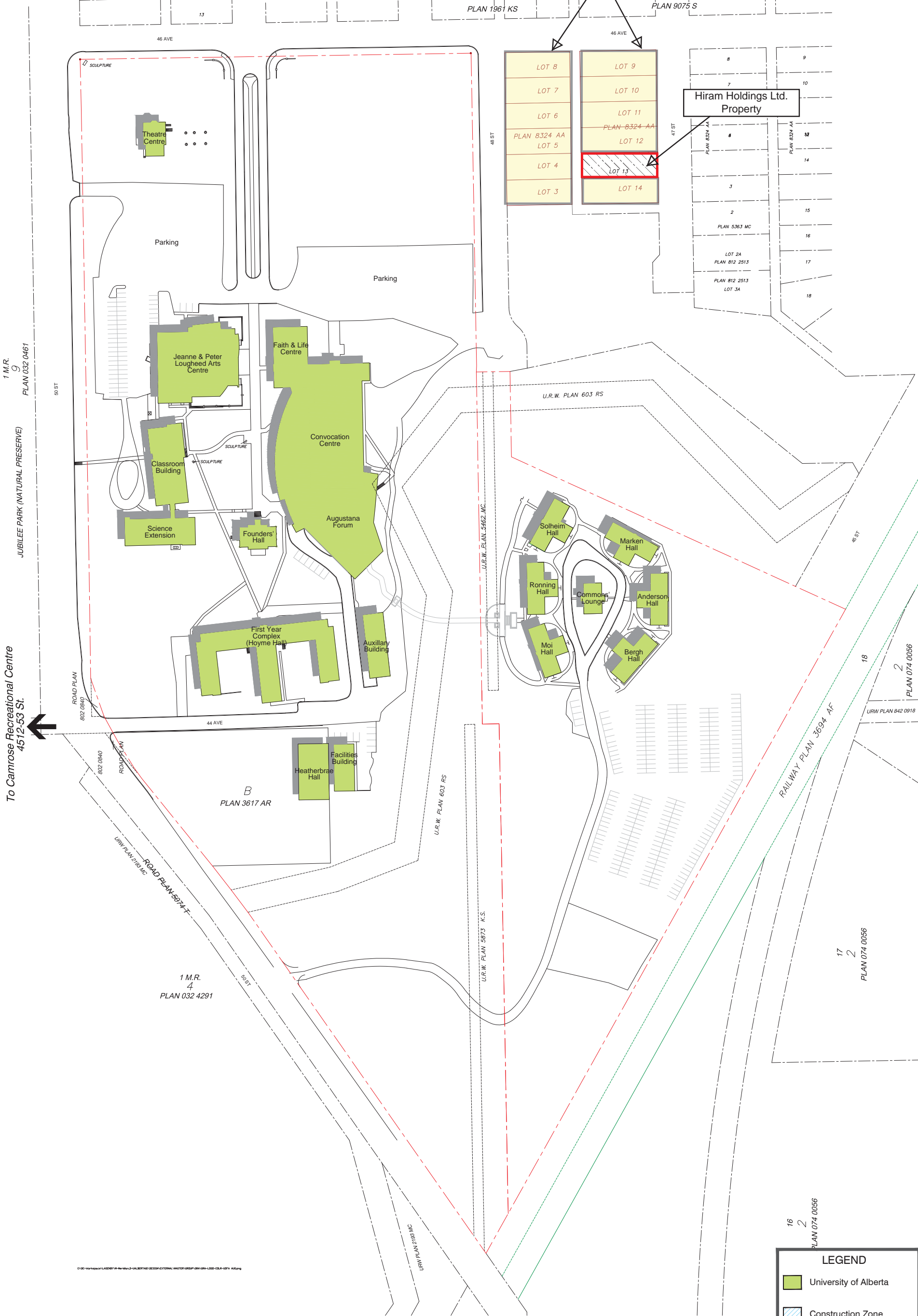
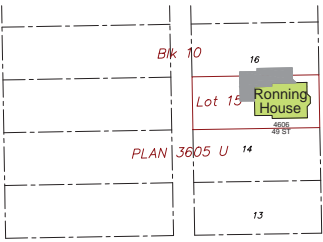
Site Plan - Hiram Holdings Ltd. Property

CAMPUS MAP



Augustana Land Bank
(shown shaded in yellow)

Hiram Holdings Ltd.
Property



1 M.R. 9
PLAN 032 0461
JUBILEE PARK (NATURAL PRESERVE)
To Camrose Recreational Centre
4512-53 St.

LEGEND

- University of Alberta
- Construction Zone

C:\WC\Projects\LAND\BYR\Map\3-D\UL\STAB\DESIGN\EXTERNAL\WATER\GSP\GPA\GPA-LOD-CUR-02P.dwg 11/24/2010

OUTLINE OF ISSUE

 Agenda Title: **Fletcher Property – Rescission of Previous Motion and Acquisition of Lands**

Motion 1: THAT the Board of Governors, on the recommendation of the Board Finance and Property Committee, rescind the following Board Finance and Property Committee-approved motion of March 1, 2016:

THAT the Board Finance and Property Committee, acting with delegated authority of the Board of Governors, approve the acquisition of approximately twenty-seven (27) acres of land, adjacent to the University's Devonian Botanic Garden, located in the County of Parkland, Alberta, on terms and conditions acceptable to the Vice-President (Facilities and Operations).

Motion 2: THAT the Board of Governors, on the recommendation of the Board Finance and Property Committee, approve the acquisition of approximately thirty-nine (39) acres of land legally described as Lots A & B Plan 3701RS from Catherine Mary Fletcher, on terms and conditions acceptable to the Vice-President (Facilities and Operations).

Motion 3: THAT the Board of Governors, on the recommendation of the Board Finance and Property Committee, approve, upon the acquisition of Lots A & B Plan 3701RS, the transfer back, without the Board of Governors taking beneficial ownership, of approximately twelve (12) acres of land to Catherine Mary Fletcher, on terms and conditions acceptable to the Vice-President (Facilities and Operations).

Item

Action Requested	<input checked="" type="checkbox"/> Approval <input type="checkbox"/> Recommendation <input type="checkbox"/> Discussion/Advice <input type="checkbox"/> Information
Proposed by	Facilities and Operations
Presenter	Don Hickey, Vice-President (Facilities and Operations)
Subject	Acquisition of land adjacent to the Devonian Botanical Garden

Details

Responsibility	Vice-President (Facilities and Operations)
The Purpose of the Proposal is (please be specific)	Rescind the Board Finance and Property Committee-approved motion of March 1, 2016 and seek approval to acquire approximately thirty-nine (39) acres of land. Then to subdivide the land and transfer back ownership of twelve (12) acres to Catherine Mary Fletcher.
The Impact of the Proposal is	The acquisition connects the Devonian Botanical Garden and the Woodbend Forest, which is used for teaching and research, while maintaining its wildland and forest character.
Replaces/Revises (eg, policies, resolutions)	The motion of March 1, 2016: THAT the Board Finance and Property Committee, acting with delegated authority of the Board of Governors, approve the acquisition of approximately twenty-seven (27) acres of land, adjacent to the University's Devonian Botanic Garden, located in the County of Parkland, Alberta, on terms and conditions acceptable to the Vice-President (Facilities and Operations).
Timeline/Implementation Date	2016
Estimated Cost	Approximately \$430,000.00
Sources of Funding	Institutional Funding
Notes	Prior to March 18, 2016, the Board Finance and Property Committee (BFPC) had delegated authority to approve the acquisition or disposal of real property, subject to review of the Board of Governors. BFPC terms now state that all acquisition or disposal of real property be recommended to the Board, hence the need for the Board to rescind the

	motion of March 1, 2016.
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Alignment/Compliance

Alignment with Guiding Documents	Long Range Development Plan
Compliance with Legislation, Policy and/or Procedure Relevant to the Proposal (please <u>quote</u> legislation and include identifying section numbers)	<p><u>Post-secondary Learning Act (PSLA)</u></p> <p>Section 66.1 - A board may acquire any interest in land for the purposes of the board in conducting the affairs of the public post-secondary institution.</p> <p><u>BFPC Terms of Reference – Sections 3 and 4 state:</u></p> <p><u>3. MANDATE OF THE COMMITTEE</u></p> <p><i>Except as provided in paragraph 4 and in the Board’s General Committee Terms of Reference, the Committee shall monitor, evaluate, advise and make decisions on behalf of the Board with respect to all strategic and significant financial and property matters and policies of the University. The Committee shall also consider any other matter delegated to the Committee by the Board.</i></p> <p><i>Without limiting the generality of the foregoing, the Committee shall:</i></p> <p><i>g) review and recommend to the board the acquisition or disposal of real property, including lands transferred to University of Alberta Properties Trust.</i></p> <p><u>4. LIMITATIONS ON DELEGATION BY THE BOARD</u></p> <p><i>The general delegation of authority by the Board to the Committee shall be limited as set out in this paragraph. Notwithstanding the general delegation of authority to the Committee set out in paragraph 3, the Board shall:</i></p> <p><i>g) approve the acquisition or disposal of real property including lands transferred to University of Alberta Properties Trust Inc.</i></p> <p><u>UAPPOL: Real Property Compliance Policy, Real Property Acquisition Procedure:</u> https://policiesonline.ualberta.ca/PoliciesProcedures/Policies/Real-Property-Compliance-Policy.pdf</p>

Routing (Include meeting dates)

Participation: (parties who have seen the proposal and in what capacity) <ul style="list-style-type: none"> • Those who have been informed • Those who have been consulted • Those who are actively participating 	Vice-President, Facilities and Operations Dean, Faculty of Agricultural, Life and Environmental Sciences Parkland County
Approval Route (Governance) (including meeting dates)	Board Finance and Property Committee (recommendation) – May 31, 2016 Board of Governors (approval) – June 17, 2016
Final Approver	Board of Governors

Attachments:

1. Briefing Note – Fletcher Property – Acquisition of Land (1 page)
2. Motion to be rescinded – Fletcher Property – Acquisition of Land (4 pages)
3. Site Plan – Fletcher Property potential purchase (1 page)

Prepared by:

R. Craig Moore, Director
Real Estate Services
University of Alberta
Email: craig.moore@ualberta.ca

Fletcher Property – Acquisition of Land

Background

The University of Alberta Devonian Botanic Garden (the Garden) is a stunning 235-acre property located 15 minutes southwest of Edmonton. It has cultivated gardens and plant collections, indoor show houses, and an extensive nature trail system. Highlights of the Garden, which was established in 1959, include: the beautiful Kurimoto Japanese Garden; a tropical show house with exotic butterflies; temperate and arid show houses; alpine, herb, rose, peony, lilac and lily collections; native peoples garden; trial beds and much more.

The Garden is an award-winning visitor attraction, a research site, and home to year-round adult and children's education programming.

The Woodbend Forest property is 156 acres of land donated to the University in 1959 by Imperial Oil Limited, and is located just south of the Garden. Soon to be running through Woodbend is the Parkland Trail that will consist of 88 kilometers of continuous trail running from Fort Saskatchewan, through Edmonton, to Devon.

The Fletcher property (approximately 27 acres) joins the Devonian Garden and the Woodbend Forest; acquisition of this property is a strategic purchase that gives the Agricultural Life and Environmental Science Faculty adequate high ground for garden development, access and connectivity to the adjacent Woodbend property, and near contiguity with the 620-acre Bunchberry Meadows Nature Conservancy of Canada property. The Fletcher acquisition also opens the door for a future creative garden entry for the Islamic Garden.

Issues

Initially Catherine Fletcher applied through the County of Parkland to subdivide her property into two areas, one to sell to the university (approximately 27 acres) and one to keep with her residence on it (approximately 12 acres). The County of Parkland had conditions for approval that were undesirable to the university, such as dedicating a 30 meter wide right of way for a service road along the west boundary of Devonian Gardens.

In meeting with the County and confirming the County could not offer any flexibility, it was accepted that the university would proceed on its own to subdivide the Fletcher property.

Fletcher property has a well site and acquisition will require an acceptable environmental assessment, as well as a recent property appraisal for the property.

Recommendation

It is recommended that the Board Finance and Property Committee recommend approval to the Board of Governors, of the acquisition of the subject property, on terms and conditions acceptable to the Vice-President (Facilities and Operations).

OUTLINE OF ISSUE

Agenda Title: **Fletcher Property – Acquisition of Land**

Motion: THAT the Board Finance and Property Committee, acting with delegated authority of the Board of Governors, approve the acquisition of approximately twenty-seven (27) acres of land, adjacent to the University's Devonian Botanic Garden, located in the County of Parkland, Alberta, on terms and conditions acceptable to the Vice-President (Facilities and Operations).

Item

Action Requested	<input checked="" type="checkbox"/> Approval <input type="checkbox"/> Recommendation <input type="checkbox"/> Discussion/Advice <input type="checkbox"/> Information
Proposed by	Facilities and Operations
Presenter	Don Hickey, Vice-President (Facilities and Operations)
Subject	Acquisition of land adjacent to the Devonian Botanic Garden

Details

Responsibility	Vice-President (Facilities and Operations)
The Purpose of the Proposal is (please be specific)	To approve the acquisition of the Fletcher Property (approximately twenty-seven (27) acres of land, adjacent to the University's Devonian Botanic Garden).
The Impact of the Proposal is	The acquisition connects the Devonian Botanic Garden and the Woodbend Forest, which is used for teaching and research, while maintaining its wildland and forest character.
Replaces/Revises (eg, policies, resolutions)	n/a
Timeline/Implementation Date	2016
Estimated Cost	Approximately \$430,000.00
Sources of Funding	Institutional Funding
Notes	In the words of the Faculty: <i>"This is a pretty important strategic purchase that gives the faculty adequate high ground for garden development, access, connectivity to the adjacent 160 acre Woodbend University property, and near contiguity with the 620 acre Bunchberry Meadows Nature Conservancy of Canada property. This property also throws open the door for a creative garden entry for the Islamic Garden."</i>

Alignment/Compliance

Alignment with Guiding Documents	Long Range Development Plan
Compliance with Legislation, Policy and/or Procedure Relevant to the Proposal (please quote legislation and include identifying section numbers)	<p><u>Post-secondary Learning Act (PSLA)</u></p> <p>Section 66.1 - A board may acquire any interest in land for the purposes of the board in conducting the affairs of the public post-secondary institution.</p> <p><u>BFPC Terms of Reference – Sections 3 and 4 state:</u></p> <p>3. <u>MANDATE OF THE COMMITTEE</u></p> <p><i>Except as provided in paragraph 4 and in the Board's General Committee Terms of Reference, the Committee shall monitor, evaluate, advise and make decisions on behalf of the Board with respect to all strategic and significant financial and property matters and policies of the University. The Committee shall also consider any other matter delegated to the Committee by the Board.</i></p>



	<p><i>Without limiting the generality of the foregoing, the Committee shall:</i></p> <p><i>g) approve the acquisition or disposal of real property, provided always that any such decision of the Committee shall be reported to the Board and shall only be effective or implemented a minimum of 24 hours following the conclusion of the Board meeting at which the decision of the Committee is reported, and provided the Board has not resolved otherwise;</i></p> <p>4. <u>LIMITATIONS ON DELEGATION BY THE BOARD</u></p> <p><i>The general delegation of authority by the Board to the Committee shall be limited as set out in this paragraph. Notwithstanding the general delegation of authority to the Committee set out in paragraph 3, the Board shall:</i></p> <p><i>g) review all decisions of the Committee with respect to the acquisition or disposal of real property; after any such review the Board may resolve to overturn or vary any such decision.</i></p> <p><i>UAPPOL: Real Property Compliance Policy, Real Property Acquisition Procedure: https://policiesonline.ualberta.ca/PoliciesProcedures/Policies/Real-Property-Compliance-Policy.pdf</i></p>
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Routing (Include meeting dates)

<p>Participation: (parties who have seen the proposal and in what capacity)</p> <ul style="list-style-type: none"> • Those who have been informed • Those who have been consulted • Those who are actively participating 	<p>Vice-President, Facilities and Operations Dean, Faculty of Agricultural, Life and Environmental Sciences Professor and Department Chair, Renewal Resources Director, Devonian Botanic Garden President's Executive Committee – Operational – February 11, 2016</p>
<p>Approval Route (Governance) (including meeting dates)</p>	<p>Board Finance and Property Committee (approval) – March 1, 2016 Board of Governors (information and final review) – March 18, 2016</p>
<p>Final Approver</p>	<p>Board Finance and Property Committee</p>

Attachments:

1. Briefing Note – Fletcher Property – Acquisition of Land (1 page)
2. Site Plan – Fletcher Property potential purchase (1 page)

Prepared by: R. Craig Moore, Director
Real Estate Services, University of Alberta
craig.moore@ualberta.ca

Fletcher Property – Acquisition of Land

Background

The University of Alberta Devonian Botanic Garden is a stunning 235-acre property located 15 minutes southwest of Edmonton. It has cultivated gardens and plant collections, indoor show houses, and an extensive nature trail system. Highlights of the Garden, which was established in 1959, include: the beautiful Kurimoto Japanese Garden; a tropical show house with exotic butterflies; temperate and arid show houses; alpine, herb, rose, peony, lilac and lily collections; native peoples garden; trial beds and much more.

The Garden is an award-winning visitor attraction, a research site, and home to year-round adult and children's education programming.

The Woodbend Forest property is 156 acres of land donated to the University in 1959 by Imperial Oil Limited, and is located just south of the University's Devonian Botanic Garden. Soon to be running through Woodbend is the Parkland Trail that will consist of 88 kilometers of continuous trail running from Fort Saskatchewan, through Edmonton, to Devon.

Acquisition of the Fletcher property joins the Devonian Garden and the Woodbend Forest; a strategic purchase that gives the Agricultural Life and Environmental Science Faculty adequate high ground for garden development, access and connectivity to the adjacent Woodbend property, and near contiguity with the 620 acre Bunchberry Meadows Nature Conservancy of Canada property. This Fletcher acquisition also opens the door for a future creative garden entry for the Islamic Garden.

Issues

The Fletcher property has a well site and acquisition will require an acceptable environmental assessment, as well as a recent property appraisal for the property.

Recommendation

It is recommended that the Board Finance and Property Committee approve, on terms and conditions acceptable to the Vice-President (Facilities and Operations), the acquisition of the subject property.

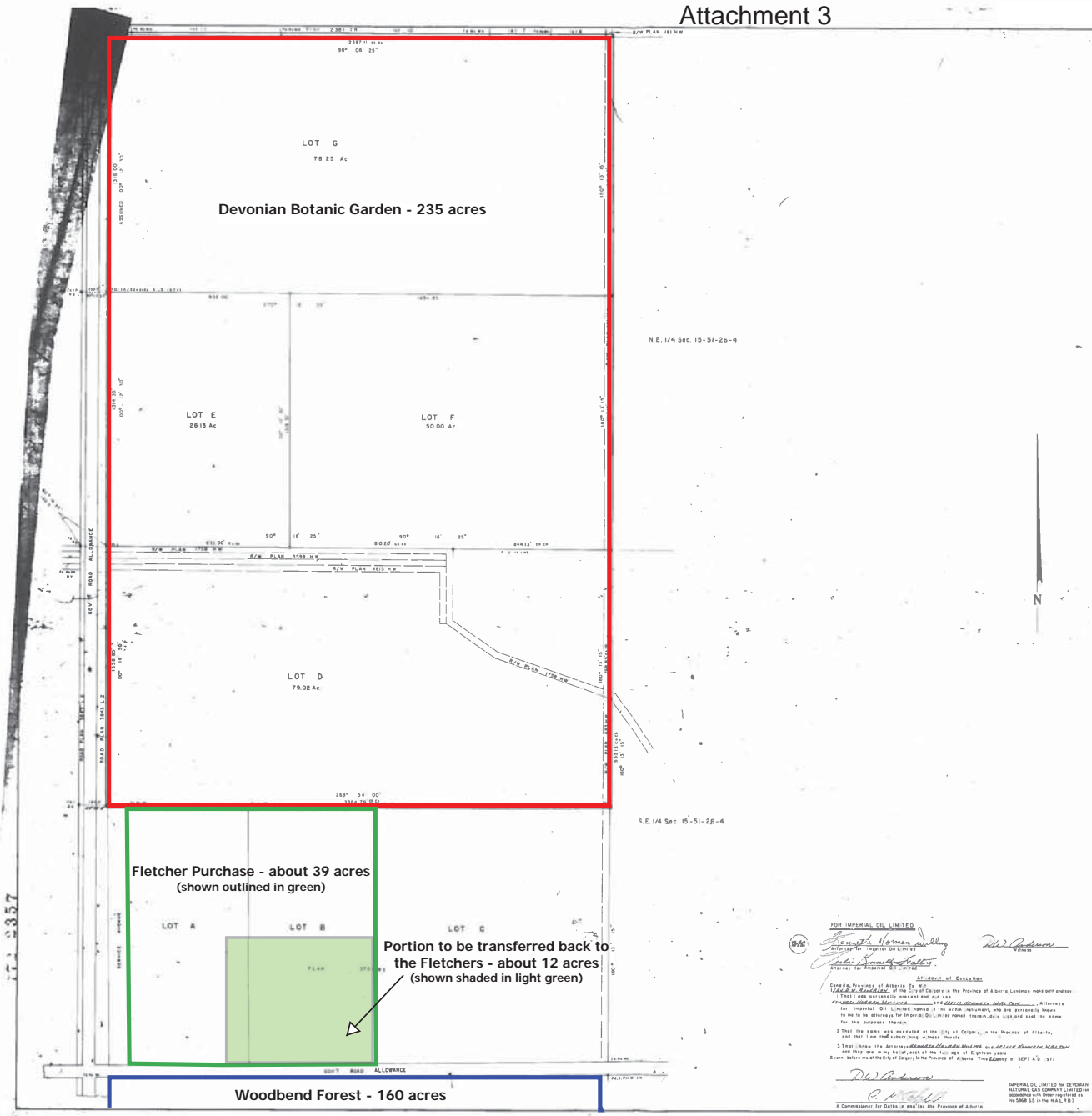


[Signatures and stamps]

APPROVED BY: *[Signature]*
 REGISTERED SURVEYOR: *[Signature]*
 1998

<p>SURVEY APPROVED</p> <p>REGISTERED SURVEYOR: <i>[Signature]</i> 1998</p>	<p><i>[Signatures]</i></p> <p>FOR ASSISTANT SECRETARY</p>	<p>FOR VICE PRESIDENT (IF ENCL)</p> <p>FOR ASSISTANT SECRETARY</p>	<p><i>[Signatures]</i></p>	<p>PLANNING APPROVAL</p> <p>772 2357</p> <p>ALBERTA</p>	<p>PLAN</p> <p>772 2357</p> <p>ALBERTA</p>
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Attachment 3



<p>772 2357</p> <p>DIRECTOR OF SURVEYS</p> <p>SURVEY APPROVED</p> <p>DATE APPROVED: 2014-04-18</p> <p>APPROVAL VALID FOR TWELVE MONTHS</p>		<p>TITLES OFFICE</p> <p>772 2357</p> <p>REGISTERED</p> <p>FOR LAND RECORDS</p>	
<p>FOR THE IMPERIAL PIPE LINE COMPANY LIMITED</p> <p><i>[Signature]</i></p> <p>SEAL</p>			
<p>FOR CALBARY POWER LTD</p> <p>PER VICE PRESIDENT (P. ENG)</p> <p><i>[Signature]</i></p> <p>PER ASSISTANT SECRETARY</p>			
<p>OWNERS SIGNATURE</p> <p>GEORGE S. VAN DER BRUG</p> <p><i>[Signature]</i></p> <p>SEAL</p>			
<p>NOTE:</p> <p>AREA TO BE REGISTERED INVOLVED THIS</p> <p>FROM POSTS FOUND SHOWN THIS</p> <p>FROM POSTS PLANTED SHOWN THIS</p>			
<p>SURVEYORS AFFIDAVIT:</p> <p>I, <i>[Signature]</i>, of the City of Edmonton, Alberta, Licensed Surveyor,</p> <p>do hereby certify that:</p> <p>1. That the survey represented by this plan was made under my personal supervision;</p> <p>2. That the survey was made in accordance with good surveying practice and is in accordance with the provisions of the Survey Act, and</p> <p>3. That the survey was performed between the dates of <i>[Signature]</i> and <i>[Signature]</i>, and that this plan is true and correct, and is prepared in accordance with the provisions of the Land Titles Act.</p> <p>SWORN before me at the City of Edmonton in the Province of Alberta, this <i>[Signature]</i> day of <i>[Signature]</i>, 1974.</p> <p><i>[Signature]</i></p> <p>A Commissioner in and for the Province of Alberta</p>			
<p>FOR IMPERIAL OIL LIMITED</p> <p><i>[Signature]</i></p> <p><i>[Signature]</i></p> <p>Attorney for Imperial Oil Limited</p> <p>ALLIANCE OF SURVEYORS</p> <p>George, Registrar of Alberta, do hereby certify that the Survey represented by this plan was made under my personal supervision and that the survey was made in accordance with good surveying practice and is in accordance with the provisions of the Survey Act, and that the survey was performed between the dates of <i>[Signature]</i> and <i>[Signature]</i>, and that this plan is true and correct, and is prepared in accordance with the provisions of the Land Titles Act.</p> <p>SWORN before me at the City of Edmonton in the Province of Alberta, this <i>[Signature]</i> day of <i>[Signature]</i>, 1977.</p> <p><i>[Signature]</i></p> <p>A Commissioner in and for the Province of Alberta</p>			
<p>LAND TITLES PLAN No</p> <p>W.D. USHER & ASSOCIATES LTD. EDMONTON ALBERTA</p> <p>SCALE 1" = 200' FILE No. 507-147 BOOK N7 pp 42</p>			



OUTLINE OF ISSUE

Agenda Title: **University of Alberta Students' Union 2016/2017 Operating / Referendum Fees**

Motion: THAT the Board of Governors, on the recommendation of the Board Finance and Property Committee:

a) rescind the following motion originally approved on May 13, 2016:

THAT the Board of Governors, on the recommendation of the Board Finance and Property Committee, approve the collection of the University of Alberta Students' Union Fee Schedule 1 for 2016/2017, as set forth in Attachment 1 of the agenda documentation, to take effect September 1, 2016.

and, concurrently,

b) approve the collection of the revised University of Alberta Students' Union Fee Schedule 1 for 2016/2017, as set forth in Attachment 1 of the agenda documentation, effective September 1, 2016.

Item

Action Requested	<input checked="" type="checkbox"/> Approval <input type="checkbox"/> Recommendation <input type="checkbox"/> Discussion/Advice <input type="checkbox"/> Information
Proposed by	University of Alberta Students' Union
Presenter	Fahim Rahman, Students' Union President
Subject	University of Alberta Students' Union 2016/2017 Operating/Referendum Fees

Details

Responsibility	University of Alberta Students' Union
The Purpose of the Proposal is (please be specific)	To rescind the University of Alberta Students' Union 2016/17 Operation/Referendum fees, as approved by the Board on May 13, 2016, and recommend it be replaced by the following amended 2016/17 Operating/Referendum Fees. The amendment, as highlighted in the following attachments involves one change: The assessment of the International House Association membership changing from \$18.00/term to \$25.00/term. This would apply only to students living in International House. All other fees as approved by the Board of Governors on May 13, 2016 will remain the same. This change was brought to the SU's attention on May 30, 2016 by the International House Association, who approved this change on April 6, 2015.
The Impact of the Proposal is	Students residing in International House will see their fees increase from \$18.00/term to \$25.00/term. The impact is from an update in the fees approved by the International House Association on April 6, 2016.
Replaces/Revises (eg, policies, resolutions)	University of Alberta Students' Union 2015/2016 Operating/Referendum Fees
Timeline/Implementation Date	September 1, 2016
Estimated Cost	None
Sources of Funding	
Notes	Background: All fees are indexed to CPI with the exception of the Access Fund, Faculty Association Fees, and Residence Association Fees. The Students' Union Fees are comprised of two classifications;



Item No. 3civ

	<p>the SU Operating Fee, and the SU Referendum Fees. Faculty and Residence Association Fees are included in the Referendum Fees on a term basis and the Health and Dental Plan Fee is included in the Referendum Fee on an annual basis.</p> <p>For the 2016-2017 academic year, Residence Association Fees will be charged as Students' Union Referendum Fees.</p> <p>There are no other changes to the fee structure or the administration of Students' Union Fees.</p>
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Alignment/Compliance

Alignment with Guiding Documents	
Compliance with Legislation, Policy and/or Procedure Relevant to the Proposal (please <u>quote</u> legislation and include identifying section numbers)	<ol style="list-style-type: none"> 1. Post-Secondary Learning Act (PSLA) (Section 95(2)): "The council of a student organization may make bylaws governing <ol style="list-style-type: none"> (e) in the case of a students' association, the maintenance of the association by the levy membership fees on its members;" 2. PSLA Section 60(1)(b): " The board of a public post-secondary institution shall ... <ol style="list-style-type: none"> (b) develop, manage and operate, alone or in co-operation with any person or organization, programs, services and facilities for the economic prosperity of Alberta and for the educational or cultural advancement of the people of Alberta," 3. PSLA Section 62: "Delegation of powers "A board may delegate in writing to any person any power, duty or function conferred or imposed on it by this Act, except the power to make bylaws." 4. Board Finance and Property Committee (BFPC) Terms of Reference Section 3.d: "d) review and recommend to the Board tuition and other like fees." 5. BFPC Terms of Reference Section 4: "LIMITATIONS ON DELEGATION BY THE BOARD <ol style="list-style-type: none"> 4. The general delegation of authority by the Board to the Committee shall be limited as set out in this paragraph. Notwithstanding the general delegation of authority to the Committee set out in paragraph 3, the Board shall: <ol style="list-style-type: none"> 4. (e) approve tuition and other like fees;"

Routing (Include meeting dates)

Consultative Route (parties who have seen the proposal and in what capacity)	Executive Committee, March 30, 2016 (for approval) Finance Committee, April 04, 2016 (for approval) Student Council, April 05, 2016 (for approval)
Approval Route (Governance) (including meeting dates)	Board Finance and Property Committee, May 31, 2016 (for recommendation) Board of Governors June 17, 2016 (for approval)
Final Approver	Board of Governors



Attachments:

1. University of Alberta Students' Union Fees 2016-17 (for approval) (1 page)
2. University of Alberta Students' Union Assessment of Undergraduate Student Union Referendum/Dedicated Fees – Allocation 2016-17 (for information) (2 pages)
3. International House Community Council Association Fee Increase Report (2 pages)

Prepared by: Fahim Rahman (fahim.rahman@su.ualberta.ca)
President
University of Alberta Students' Union (with the assistance of University Governance)

Undergraduate students are assessed fees from both Schedule 1, 2, 3 and 4:

Schedule 1:						Schedule 2:		
Students' Union Undergraduate Fees - TERM						Students' Union Undergraduate Fees - ANNUAL/TERM		
Effective: September 1, 2016						Effective: September 1, 2016		
Undergraduate Student Fee Types						6. Nursing	7. Law	
	1. Basic Fee	2. Engineering	3. Augustana	4. Business	5. Science			
Fall or Winter Term Full Time Fees:								
Students' Union Fee	\$42.73	\$42.73	\$42.73	\$42.73	\$42.73	\$42.73	\$42.73	
Referendum Fees	<u>\$43.96</u>	<u>\$50.96</u>	<u>79.82</u>	<u>\$53.96</u>	<u>\$48.96</u>	<u>\$56.46</u>	<u>\$93.96</u>	
Total Fall or Winter Term Full Time Fees	\$86.69	\$93.69	\$122.55	\$96.69	\$91.69	\$99.19	\$136.69	
Fall or Winter Term Part Time Fees:								
Students' Union Fee	\$22.37	\$22.37	\$22.37	\$22.37	\$22.37	\$22.37	\$22.37	
Referendum Fees	<u>\$40.82</u>	<u>\$47.82</u>	<u>\$79.82</u>	<u>\$50.82</u>	<u>\$45.82</u>	<u>\$43.96</u>	<u>\$43.96</u>	
Total Fall or Winter Term Part Time Fees	\$63.19	\$70.19	\$102.19	\$73.19	\$68.19	\$86.69	\$86.69	
Fall or Winter Term Off Campus Student Fees:								
Students' Union Fee	\$22.37	\$22.37		\$22.37	\$22.37			
Referendum Fees	<u>\$40.82</u>	<u>\$40.82</u>		<u>\$40.82</u>	<u>\$40.82</u>			
Total Fall or Winter Term Off Campus Fees	\$63.19	\$63.19		\$63.19	\$63.19			
Spring or Summer Term Fees:								
Students' Union Fee	\$26.66	\$26.66		\$26.66	\$26.66			
Referendum Fees	<u>\$16.36</u>	<u>\$16.36</u>		<u>\$16.36</u>	<u>\$16.36</u>			
Total Spring or Summer Term Fees	\$43.02	\$43.02		\$43.02	\$43.02			
Spring or Summer Term Off Campus Fees:								
Students' Union Fee	\$26.66	\$26.66		\$26.66	\$26.66			
Referendum Fees	<u>\$16.36</u>	<u>\$16.36</u>		<u>\$16.36</u>	<u>\$16.36</u>			
Total Spring or Summer Term Off Campus Fees	\$43.02	\$43.02		\$43.02	\$43.02			

Schedule 3:					
See Note #8 below for explanation					
Students' Union Undergraduate Fees - ANNUAL					
Effective: September 1, 2016					
	Health and Dental Plan			Health and Dental Plan	
	Fall Enrollment			Winter Enrollment	
	Health Plan Fee	Dental Plan Fee	Referendum Fee	Health Plan Fee	Dental Plan Fee
Full Time Fees	\$126.25	\$143.00	\$84.17	\$84.17	\$95.33
Part Time Fees:	\$126.25	\$143.00	\$84.17	\$84.17	\$95.33
Off-Campus Fees	\$126.25	\$143.00	\$84.17	\$84.17	\$95.33

Schedule 4:	
See Note #9 below for explanation	
Students' Union Undergraduate Fees - TERM (Full & Part Time)	
Effective: September 1, 2016	
HUB Community	\$22.50
International House	\$25.00
L'Association de la Residence de la Faculte Saint-Jean	\$33.50
East Camput Student	\$18.00

1 The Basic Fee (Column 1) applies to all students except those in the Faculty of Engineering, Augustana, Faculty of Business, Faculty of Nursing - Note: Other than the Faculty of Nursing & Health Fee, all fees are per Term.

2 Engineering students are assessed the Basic Fee for all terms (which is included in Column 2) , plus a \$7.00/term Faculty Association Membership Fee (FAMF) which is included in the Referendum portion of the fee in Column 2. This FAMF is only being assessed in the Fall and Winter Full Time and Part Time terms, not Intersession or Off-Campus.

3 Augustana students are assessed the amount in Column 3 for Fall/Winter Terms. Council has decided not to assess Augustana Off-Campus or Intersession students at this time. The Referendum portion of the Augustana Fee in Column 3 includes a \$65.00/term Faculty Association Membership Fee.

4 Business students are assessed the Basic Fee for all terms (which is included in Column 4) , plus a \$10.00/term Faculty Association Membership Fee (FAMF) which is included in the Referendum portion of the fee in Column 4. This FAMF is only being assessed in the Fall and Winter Full Time and Part Time terms, not Intersession or Off-Campus.

5 Science students are assessed the Basic Fee for all terms (which is included in Column 5) , plus a \$5.00/term Faculty Association Membership Fee (called SCI-5) which is included in the Referendum portion of the fee in Column 5. Association Fee is only being assessed in the Fall and Winter Full Time and Part Time terms, but not including Intersession or Off-Campus Students.

6 Nursing students are assessed the Basic Fee for all terms (which is included in Column 6) , plus a \$12.50 Faculty Association Membership Fee (FAMF) for Full Time Fall Term Students, and a \$8.50 FAMF for Part Time Fall Term Students, which is included in the Referendum portion of the fee in Column 6. This FAMF is only being assessed in the Fall Term, and does not include Intersession or Off-Campus students.

7 Law students are assessed the Basic Fee for all terms (which is included in Column 7) , plus a \$50.00 Faculty Association Membership Fee (FAMF) for Full Time Fall Term Students, which is included in the Referendum portion of the fee in Column 7. This FAMF is only being assessed in the Fall Term, and does not include Intersession or Off-Campus students.

8 Health and Dental Plan Fee: This fee is assessed to all full and part time undergraduate students on an annual basis effective September 1, 2009. The fee is assessed IN ADDITION to the term fees outlined in Schedule 1 above.
Undergraduate students enrolled in the Fall Term, and taking 3 or more credit, shall be assessed the full amount. The plan will typically provide coverage from September to August year-long.
Undergraduate students enrolled in the Winter Term, taking 3 or more credit, & have not previously been assessed in the prior Fall Term, shall be assessed a pro-rated amount. The plan will typically provide coverage from January to August.

9 Residence Association Membership Fee: These fees are assessed to all full-time and part-time residents of the Residence Associations named as the Fund . Fees shall be assessed once per term, upon proof that the student is a resident of the residence at the time of fee assessment.
These fees assessed are IN ADDITION to the term fees outlined in Schedule 1 & 2 above.

All Students' Union fees (including Referendum fees) are subject to the Alberta CPI (1.74%) except for the Access Fund fee which is calculated on an Average Cost Index, or Faculty Association Fees (which have no increase). All applicable increases are already built into the above figures.

NAME OF DEDICATED FUND	YEAR IMPLEMENTED	CPI Tuition					
		2011/12 FEE PER TERM	2012/13 FEE PER TERM	2013/14 FEE PER TERM	2014/15 FEE PER TERM	2015/16 FEE PER TERM	2016/17 FEE PER TERM
Faculty of Business Students	2008						
FACULTY ASSOCIATION MEMBERSHIP FEE	\$7.50						
Total Fees Allocated to Referendum/(Dedicated Fee)- Full Time Term		38.84	39.64	39.23	48.50	50.69	
Total Fees Allocated to Students' Union Services/Operations - Full Time Term		36.04	37.09	37.50	38.08	39.05	
Total Fall or Winter Term Full Time Fees		74.88	76.73	76.73	86.58	89.74	
Total Fees Allocated to Referendum/(Dedicated Fee)- Part Time Term		35.99	36.71	36.27	45.50	47.61	
Total Fees Allocated to Students' Union Services/Operations - Part Time Term		17.57	18.08	18.28	18.56	19.04	
Total Fall or Winter Term Part Time Fees		53.56	54.79	54.55	64.06	66.65	
Total Fees Allocated to Referendum/(Dedicated Fee)- Intersession		10.39	10.65	10.42	15.00	15.23	
Total Fees Allocated to Students' Union Services/Operations - Intersession		22.82	23.48	23.74	24.11	24.73	
Total Spring or Summer Term Fees		33.21	34.13	34.16	39.11	39.96	
	2017						
FACULTY ASSOCIATION MEMBERSHIP FEE	\$10.00						
Total Fees Allocated to Referendum/(Dedicated Fee)- Full Time Term							53.96
Total Fees Allocated to Students' Union Services/Operations - Full Time Term							42.73
Total Fall or Winter Term Full Time Fees							96.69
Total Fees Allocated to Referendum/(Dedicated Fee)- Part Time Term							50.82
Total Fees Allocated to Students' Union Services/Operations - Part Time Term							22.37
Total Fall or Winter Term Part Time Fees							73.19
Total Fees Allocated to Referendum/(Dedicated Fee)- Intersession							16.36
Total Fees Allocated to Students' Union Services/Operations - Intersession							26.66
Total Spring or Summer Term Fees							43.02
Faculty of Science Students	2013						
FACULTY ASSOCIATION MEMBERSHIP FEE	\$5.00						
Total Fees Allocated to Referendum/(Dedicated Fee)- Full Time Term				36.73	46.00	48.19	48.96
Total Fees Allocated to Students' Union Services/Operations - Full Time Term				37.50	38.08	39.05	42.73
Total Fall or Winter Term Full Time Fees				74.23	84.08	87.24	91.69
Total Fees Allocated to Referendum/(Dedicated Fee)- Part Time Term				33.77	43.00	45.11	45.82
Total Fees Allocated to Students' Union Services/Operations - Part Time Term				18.28	18.56	19.04	22.37
Total Fall or Winter Term Part Time Fees				52.05	61.56	64.15	68.19
Total Fees Allocated to Referendum/(Dedicated Fee)- Intersession				10.42	15.00	15.23	16.36
Total Fees Allocated to Students' Union Services/Operations - Intersession				23.74	24.11	24.73	26.66
Total Spring or Summer Term Fees				34.16	39.11	39.96	43.02
Faculty of Law Students	2014						
(FULL-TIME-FALL ONLY) FACULTY ASSOCIATION FEE	\$50.00						
Total Fees Allocated to Referendum/(Dedicated Fee)- Full Time FALL Term					91.00	93.19	93.96
Total Fees Allocated to Students' Union Services/Operations - Full Time Term					38.08	39.05	42.73
Total Fall or Winter Term Full Time Fees					129.08	132.24	136.69
Total Fees Allocated to Referendum/(Dedicated Fee)- Full Time WINTER Term					41.00	43.19	43.96
Total Fees Allocated to Students' Union Services/Operations - Full Time Term					38.08	39.05	42.73
Total Fall or Winter Term Full Time Fees					79.08	82.24	86.69
Total Fees Allocated to Referendum/(Dedicated Fee)- Part Time FALL Term					38.00	40.11	40.82
Total Fees Allocated to Students' Union Services/Operations - Part Time Term					18.56	19.04	22.37
Total Fall or Winter Term Part Time Fees					56.56	59.15	63.19
Total Fees Allocated to Referendum/(Dedicated Fee)- Part Time WINTER Term					38.00	40.11	40.82
Total Fees Allocated to Students' Union Services/Operations - Part Time Term					18.56	19.04	22.37
Total Fall or Winter Term Part Time Fees					56.56	59.15	63.19
Total Fees Allocated to Referendum/(Dedicated Fee)- Intersession					15.00	15.23	16.36
Total Fees Allocated to Students' Union Services/Operations - Intersession					24.11	24.73	26.66
Total Spring or Summer Term Fees					39.11	39.96	43.02
Faculty of Nursing Students	2009						
(FULL-TIME-FALL ONLY) FACULTY ASSOCIATION FEE	\$12.50						
(PART-TIME-FALL ONLY) FACULTY ASSOCIATION FEE	\$8.50						
Total Fees Allocated to Referendum/(Dedicated Fee)- Full Time Term	*changed*	35.09	32.14				
Total Fees Allocated to Students' Union Services/Operations - Full Time Term		36.04	37.09				
Total Fall or Winter Term Full Time Fees		71.13	69.23				
Total Fees Allocated to Referendum/(Dedicated Fee)- Full Time FALL Term	2013			44.23	53.50	55.69	56.46
Total Fees Allocated to Students' Union Services/Operations - Full Time Term				37.50	38.08	39.05	42.73
Total Fall or Winter Term Full Time Fees				81.73	91.58	94.74	99.19
Total Fees Allocated to Referendum/(Dedicated Fee)- Full Time WINTER Term	2013			31.73	41.00	43.19	43.96
Total Fees Allocated to Students' Union Services/Operations - Full Time Term				37.50	38.08	39.05	42.73
Total Fall or Winter Term Full Time Fees				69.23	79.08	82.24	86.69
Total Fees Allocated to Referendum/(Dedicated Fee)- Part Time Term	*changed*	32.24	29.21				
Total Fees Allocated to Students' Union Services/Operations - Part Time Term		17.57	18.08				
Total Fall or Winter Term Part Time Fees		49.81	47.29				
Total Fees Allocated to Referendum/(Dedicated Fee)- FALL Part Time Term	2013			37.27	46.50	48.61	49.32
Total Fees Allocated to Students' Union Services/Operations - Part Time Term				18.28	18.56	19.04	22.37
Total Fall or Winter Term Part Time Fees				55.55	65.06	67.65	71.69
Total Fees Allocated to Referendum/(Dedicated Fee)- WINTER Part Time Term	2013			28.77	38.00	40.11	40.82
Total Fees Allocated to Students' Union Services/Operations - Part Time Term				18.28	18.56	19.04	22.37
Total Fall or Winter Term Part Time Fees				47.05	56.56	59.15	63.19
Total Fees Allocated to Referendum/(Dedicated Fee)- Intersession		10.39	10.65	10.42	15.00	15.23	16.36
Total Fees Allocated to Students' Union Services/Operations - Intersession		22.82	23.48	23.74	24.11	24.73	26.66
Total Spring or Summer Term Fees		33.21	34.13	34.16	39.11	39.96	43.02
HEALTH AND DENTAL PLAN							
Full and Part Time Annual Fee - Health (Enrollment Starting in Fall Term)	2009	105.99	109.06	110.27	118.00	118.00	126.25
Full and Part Time Annual Fee - Dental (Enrollment Starting in Fall Term)		107.34	110.46	111.69	116.50	116.50	143.00
Full and Part Time Annual Fee - Health (Enrollment Starting in Winter Term)	2015					78.67	84.17
Full and Part Time Annual Fee - Dental (Enrollment Starting in Winter Term)						77.67	95.33
RESIDENCE ASSOCIATION MEMBERSHIP FEES							
HUB Community (Full & Part Students)	2017						25.50
International House (Full & Part Students)	2017						25.00
L'Association de la Residence de la Faculte Saint-Jean (Full & Part Students)	2017						33.50
East Campus Student Association (Full & Part Students)	2017						18.00

International House Community Council (IHCC) Association Fee Increase Report

April 8th, 2015

Reason:

- Constant increase in the expenses of event organizing.
- Plans to lower the increased ticket prices for International House's major events (Cheer Party & La Grande Finale) which have increased during the past years.

Process:

- On February 8th IHCC meeting (14 days before the change), it was announced that in the next IHCC meeting there will be a constitution update and Association Fee Increase will be discussed.
- On February 12th (10 days before the change), All 154 members of the IHCC received written invitations to the next IHCC meeting of February 22nd to discuss and approve the changes to the constitution and the increase of the Association Fees.
- On February 15th (7 days before the change), the details of the changes and new fees were reported to everyone, was put up in the main entrance of I-House and was posted online.
- On February 22nd (the day of the change), in the presence of 12 I-Housers consisting of all executive members (as mandated by the International House Constitution) with no blocking votes, consensus was reached and the new constitution was officially approved.
- On February 23rd (the day after the change), the new constitution was reported to the Student Group Services (SGS).
- On March 30th (7 days before the second approval), the exact value of the increase in the fees (\$14) was put up in a place accessible and visible to all residents.
- On April 6th (the day of the second approval), in the presence of 14 I-Housers consisting of all executive members or their proxies (as mandated by the International House Constitution) with no blocking votes, consensus was reached and the new fees were approved for a second time.

New Amount:

- \$50 per academic year

Current Budget:

- Attached as the second page of this document

Afshin Arefi
International House
Community Council Co-Facilitator

International House 2014 - 2015 Budget					
		Budget	Actual	Difference	
Small Celebrations such as:	Thanksgiving	110.00	139.21	(29.21)	
	Christmas	50.00	-	50.00	
	Halloween	50.00	27.58	22.42	
	Day of the Dead	50.00	-	50.00	
	St. Nikolas	100.00	-	100.00	
	Pan-Asian New Year	50.00	60.34	(10.34)	
	Valentine's Day	100.00	61.54	38.46	
	Welcome Tea Night	-	17.62	(17.62)	
	Mid-Autumn Festival	-	51.05	(51.05)	
	Movie Night	10.00	-	10.00	
		Total Small Celebrations	520.00	357.34	162.66
	Large Celebrations such as:	Cheery Party	1,000.00	1,363.16	(363.16)
		Grande Finale	1,420.00	1,600.00	(180.00)
Feast		500.00	500.00	-	
		Total Large Celebrations	2,920.00	3,463.16	(543.16)
I-House Bank Account	Check Books	100.00	45.00	55.00	
	Bank fees	30.00	30.00	-	
		Total for Bank Account	130.00	75.00	55.00
Meetings	FT meeting refreshment + Council meeting refreshment	400.00	187.22	212.78	
		Total for Meetings	400.00	187.22	212.78
Others	Supplies	500.00	48.19	451.81	
	Legacy project	500.00	-	500.00	
	Piano Tuning	250.00	160.00	90.00	
	Sports	180.00	62.01	117.99	
		Total for Others	1,430.00	270.20	1,159.80
Total		5,400.00	4,352.92	1,047.08	
International House 2014 - 2015 Income					
Available Budget	Expected September 2014	4,989.60	-	4,989.60	
(Collected By Residence Services)	Expected October 2014	-	4,500.00	(4,500.00)	
	Expected Early February 2015	1,000.00	-	1,000.00	
	Expected March 2015	-	1,056.00	(1,056.00)	
Total		5,989.60	5,556.00	433.60	
International House 2014 - 2015 Estimated Remaining Plans (Expected Budget Updates)					
Small Celebrations	Easter	50.00	-	-	
Meetings	FT - IHCC	100.00	-	-	
Others	Legacy project	500.00	-	-	
	Sport supplies	500.00	-	-	
	5% carry over	300.00	-	-	
	Summer Budget	186.68	-	-	
Total		1,636.68	-	-	

OUTLINE OF ISSUE

 Agenda Title: **Board Human Resources and Compensation Committee Terms of Reference**

Motion: THAT the Board of Governors, on the recommendation of the Board Human Resources and Compensation Committee, approve the proposed changes to the Committee's Terms of Reference, as set forth in Attachment 1.

Item

Action Requested	<input checked="" type="checkbox"/> Approval <input type="checkbox"/> Recommendation <input type="checkbox"/> Discussion/Advice <input type="checkbox"/> Information
Proposed by	Marion Haggarty-France, University Secretary
Presenter	Marion Haggarty-France, University Secretary
Subject	Review of Committee Terms of Reference

Details

Responsibility	University Governance
The Purpose of the Proposal is (please be specific)	To allow for the appointment of one member of the general public with specific expertise in a field of interest to the Human Resources and Compensation Committee if it is deemed that the committee requires an external member to ensure the appropriate skills and competencies are covered.
The Impact of the Proposal is	To provide the Board of Governors with the option of adding one additional member to the Human Resources and Compensation Committee with specific expertise
Replaces/Revises (eg, policies, resolutions)	Current Terms of Reference
Timeline/Implementation Date	Upon Board of Governors approval
Estimated Cost	n/a
Sources of Funding	n/a
Notes	With the upcoming board member turnover, the proposal provides the option of allowing the Board to appoint one additional external member of the public to sit as a voting member of the Human Resources committee. This also will ensure that the Committee has the appropriate expertise on the committee.

Alignment/Compliance

Alignment with Guiding Docs	
Compliance with Legislation, Policy and/or Procedure Relevant to the Proposal (please quote legislation and include identifying section numbers)	<p>1. Post Secondary Learning Act (PSLA), Section 60 (1)(b): "The Board of a public post-secondary institution shall develop, manage and operate, alone or in cooperation with any person or organization, programs, services and facilities for the educational or cultural advancement of the people of Alberta."</p> <p>2. Board of Governors General Terms of Reference, Section b: "The Board has delegated to each Committee responsibility and authority to make decisions on behalf of the Board in the Committee's defined area of responsibility except to the extent that such authority has been specifically limited by the Board in the Terms of Reference for the Committee."</p> <p>...</p> <p>"...issues which remain with the Board or which would be referred by a Committee to the Board would generally be in the nature of...any matter</p>

Item No. 3di

	<p>involving an alteration in the mandate, terms of reference, membership, or structure of a Committee;...”</p> <p>(a) annually review the terms of reference of the Committee and recommend to the Board any required changes.</p> <p>3. Board Human Resources and Compensation Committee Terms of Reference, Mandate of the Committee</p> <p>...</p> <p>p) annually review the terms of reference of the Committee and recommend to the Board any required changes.</p>
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Routing (Include meeting dates)

<p>Participation: (parties who have seen the proposal and in what capacity)</p> <ul style="list-style-type: none"> • Those who have been informed • Those who have been consulted • Those who are actively participating 	<ul style="list-style-type: none"> • Michael Phair, Chair, Board of Governors • Bob Teskey, Chair, Board Human Resources and Compensation Committee • James Heelan, Vice-Chair, Board Human Resources and Compensation Committee • Marion Haggarty-France, University Secretary • Juli Zinken, Board Secretary – conducted a survey of membership compositions at other universities
<p>Approval Route (Governance) (including meeting dates)</p>	<p>Board Human Resources and Compensation Committee – May 30, 2016 (for recommendation) Board of Governors – June 17, 2016 (for approval)</p>
<p>Final Approver</p>	<p>Board of Governors</p>

Attachments

1. Board Human Resources and Compensation Committee Terms of Reference – showing edits (4 pages)
2. Board Human Resources and Compensation Committee Terms of Reference – without edits (4 pages)
3. Select Survey of Institutions and Membership Composition (2 pages)

Prepared by: Marion Haggarty-France, University Secretary



BOARD HUMAN RESOURCES AND COMPENSATION COMMITTEE Terms of Reference

1. AUTHORITY

- (a) The Board Human Resources and Compensation Committee (the "Committee") is created by and responsible to the Board of Governors (the "Board") of the University of Alberta (the "University").
- (b) The Vice-President (Finance and Administration) and the Provost and Vice-President (Academic) shall provide management support to the Committee.
- (c) University Governance shall provide administrative support to the Committee
- (d) The Committee shall function in accordance with the Board's General Committee Terms of Reference.

2. COMPOSITION OF COMMITTEE

- (a) Voting Members appointed by the Board (ordinarily a maximum of **9-10** voting members):
 - (1) Up to six Board members from the membership categories identified by the Alberta Post-Secondary Learning Act (the Act) as general public, alumni and senate. There shall be no board members on this committee representing academic staff, non-academic staff or students
 - (2) If required, a member of the general public with specific expertise in a field of interest to the Committee, to ensure the committee has the appropriate balance of skills and competencies;**
 - (32)** The Board Chair, by virtue of office
 - (34)** The President and Vice-Chancellor, by virtue of office
 - (45)** The Chancellor, by virtue of office

Non-Voting Officials appointed by the President

- (1) Provost and Vice-President (Academic)
 - (2) Vice-President (Finance and Administration)
 - (3) Vice-Provost and Associate Vice-President (Human Resources)
 - (4) University Secretary
 - (5) Committee Secretary
 - (6) Other officers, as determined by the President
- (b) The Board of Governors shall appoint the Committee Chair from the Committee membership category 2(a)(1), upon the recommendation of the Board Chair.
 - (c) The Committee shall designate the Vice-Chair from the Committee membership upon the recommendation of the Board Chair and the Committee Chair. The Vice-Chair undertakes and discharges all duties of the Chair in the absence of the Chair.

3. MANDATE OF THE COMMITTEE

Except as provided in paragraph 4 and in the Board's General Committee Terms of Reference, the Committee shall monitor, evaluate, advise and make decisions on behalf of the Board with respect to, and the Board delegates to the Committee responsibility and authority for, all policies and procedures affecting staff working conditions at the University and matters for collective bargaining and related service contracts. The Committee shall also consider any other matter delegated to the Committee by the Board.

Without limiting the generality of the foregoing the Committee shall:

- (a) consider and propose changes in collective agreements and confirm the mandate for negotiating committees with all bargaining units;
- (b) annually review and approve the performance and compensation of the Deputy Provost, Deans, University Registrar and University Librarian on the advice and recommendation of the Provost;
- (c) annually provide advice to the President, through the Chair of the Committee, with respect to the responsibilities and performance (in relation thereto) of the Vice-Presidents and thereafter approve the compensation of the Vice-Presidents on the advice of the President;
- (d) annually solicit, review and evaluate the comments of the members of the Board with respect to the performance of the President and consider such other data, reports and information as the Committee considers useful and thereafter, approve the compensation of the President and through the Chair of the Committee, provide advice to the Chair of the Board on the performance of the President;
- (e) appoint Board members to Search and Review Committees for the President and Advisory and review committees for Vice-Presidents established under the University of Alberta Policies and Procedures On-Line (UAPPOL) from time to time;
- (f) regularly assess staff benefit plans, including trends;
- (g) review and approve material changes to personnel policies of the University that are outside the regular collective bargaining process and consider trends affecting such policies;
- (h) approve the appointment of Killam and Tory Chairs;
- (i) review and provide recommendations to the Board Audit Committee on the University's enterprise-wide risks and risk measures related to the Committee mandate
- (j) monitor executive and university trends for compensation and benefits for senior institutional administrators;
- (k) receive and review the Annual Report, and the report of the nominee of the Board to the Board of Trustees, of the Universities Academic Pension Plan;
- (l) monitor Presidential effectiveness;
- (m) review succession plans for senior administration;
- (n) annually report on an evaluation of the Board;

- (o) monitor the performance of the University in the areas of responsibility of the Committee, against key strategic performance initiatives and performance measure reports and results in place from time to time and report thereon to the Board;
- (p) annually review the terms of reference of the Committee and recommend to the Board any required changes.

The Committee shall review, evaluate and provide information and recommendations to the Board where the Board is making decisions in areas generally related to areas of responsibility of the Committee.

In making reports and recommendations with respect to appointments, extensions, reappointments and dismissals of Deans and Vice-Presidents, the Committee shall do so on the advice and recommendation of the President.

4. LIMITATION ON DELEGATION BY THE BOARD

The general delegation of authority by the Board to the Committee shall be limited as set out in this paragraph. Notwithstanding the general delegation of authority to the Committee as set out in paragraph 3, the Board shall make all decisions with respect to:

- (a) the appointment, extension, reappointments and dismissals of Deans, Vice-Presidents and the President;
- (b) the approval of goals and objectives for the President;
- (c) the approval of collective agreements and any substantial revisions thereof;
- (d) policy related to the remuneration of Deans, Vice-Presidents and the President and other senior members of the Administration of the University; and
- (e) the establishment of an annual report on an evaluation of the Board and decisions arising from that report.

5. REPORTING TO THE BOARD

As provided in the Board's General Terms of Reference the Committee shall regularly report to the Board with respect to its activities and decisions.

Decision History:

DATE	DECISION-MAKER	DECISION
2002-09-20	Board of Governors	Approved
2006-10-3	Board Human Resources and Compensation Committee	Revised
2007-06-22	Board of Governors	Approved
2008-05-21	Board Human Resources and Compensation Committee	Recommended to Board of Governors
2008-06-20	Board of Governors	Approved
2010-09-23	Board Human Resources and Compensation Committee	Suggested Revisions
2011-02-01	Board Human Resources and Compensation Committee	Recommended to Board of Governors
2011-02-11	Board of Governors	Approved
2011-10-21	Board of Governors	Approved
2013-10-01	Board Human Resources and Compensation Committee	Recommended to Board of Governors
2013-10-18	Board of Governors	Approved
2014-09-29	Board Human Resources and Compensation Committee	Recommended to Board of Governors

2014-10-24	Board of Governors	Approved
2015-09-29	Board Human Resources and Compensation Committee	Recommended to Board of Governors
2015-10-16	Board of Governors	Approved
<u>2016-05-30</u>	<u>Board Human Resources and Compensation Committee</u>	<u>Recommended to the Board of Governors</u>
<u>2016-06-17</u>	<u>Board of Governors</u>	



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 - (2) If required, a member of the general public with specific expertise in a field of interest to the Committee, to ensure the committee has the appropriate balance of skills and competencies;
 - (3) The Board Chair, by virtue of office
 - (4) The President and Vice-Chancellor, by virtue of office
 - (5) The Chancellor, by virtue of office

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- (o) monitor the performance of the University in the areas of responsibility of the Committee, against key strategic performance initiatives and performance measure reports and results in place from time to time and report thereon to the Board;
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2014-09-29	Board Human Resources and Compensation Committee	Recommended to Board of Governors

2014-10-24	Board of Governors	Approved
2015-09-29	Board Human Resources and Compensation Committee	Recommended to Board of Governors
2015-10-16	Board of Governors	Approved
2016-05-30	Board Human Resources and Compensation Committee	Recommended to the Board of Governors
2016-06-17	Board of Governors	

Institution	Membership (current)
Calgary	<p>Voting Members¹</p> <p><input type="checkbox"/> Those Governors that are appointed by the Board or its delegate. One of these Members shall be named as Chair and one of these Members shall be named as Vice Chair by the Board or its delegate.</p> <p><input type="checkbox"/> Those External Members that are appointed by the Board or its delegate</p> <p>Provided that:</p> <ol style="list-style-type: none"> 1. In this section, Governors is restricted to Public Governors and those Governors nominated by the University Senate and Alumni Association; 2. The Chair and the Vice Chair must be Public Governors; 3. A majority of the voting Members must be Governors; and 4. No person currently employed or employed within the past five years by the University may be a voting Member.
Dalhousie	<p>Composition</p> <p>Not less than four external members of the Board; ex officio members are the Chair of the Board and the President of Dalhousie University. Membership may include members of the general public/alumni who are not members of the Board, as appropriate. The Chair of the Board and/or President may designate a voting alternate to serve in their place.</p>
Lethbridge	<p>The following shall be members (voting) of the Compensation Committee:</p> <ul style="list-style-type: none"> • Chair of the Board, who shall be designated Committee Chair (ex-officio) • Vice-Chair of the Board (ex-officio) • Chair of the Finance Committee (ex-officio) • At least one (1) other Member of the Board <p>Following the Board Rules of Operation, membership on committees is determined annually by recommendation from the Board Executive Committee.</p>
McGill	<p>Composition</p> <p>The Committee shall consist of five to eight members, exclusive of ex officio members, selected from among the following:</p> <p>At-Large members of the Board; Alumni Association members of the Board; Governors Emeriti;</p> <p>Up to three members of the general public (optional).</p>
Memorial	<p>COMPOSITION The Committee shall comprise: 1. Three (3) members from the Board of Regents to be appointed by the Chair of the Board who shall designate one (1) member to be Chair and one (1) member to be Vice-Chair. 2. The Chair of the University Pensions Committee. 3. The Chair of the University Benefits Committee. 4. The following ex-officio members: i. The Chair of the Board of Regents; ii. The President and Vice-Chancellor; and, iii. The Provost and Vice-President (Academic).</p>
Queens	<p>Membership:</p> <p>Membership is entirely ex officio and restricted to:</p> <p>The Chair of the Board of Trustees, who shall be the Committee Chair</p> <p>The Chancellor</p> <p>The Vice-Chairs of the Board</p>

	<p>The Committee shall have the ability to invite Trustees elected by the Board and/or the University Council, who do not hold an employment relationship with the University, to participate in meetings from time to time as non-voting advisors when it is felt that their expertise would benefit the Committee in the fulfillment of its duties and responsibilities as listed above.</p>
UBC	<p>MEMBERSHIP & PROCEDURES</p> <p>The Board of Governors Chair, the Chancellor and the President are ex officio members of the Employee Relations Committee.</p> <p>The Board Chair acts as Chair of the Employee Relations Committee.</p> <p>Additional members should be appointed by the Board Chair with the assistance of the President, based on qualifications and interest, and to avoid potential conflicts of interest.</p>
Victoria	<p>The Committee shall consist of the Chair of the Board and four additional Order-in-Council members of the Board appointed by the Chair and shall be chaired by the Chair of the Board or designate.</p>

OUTLINE OF ISSUE

 Agenda Title: **Proposed New Copyright Regulations**

Motion: THAT the Board of Governors, on the recommendation of the Board Human Resources and Compensation Committee, Board Learning and Discovery Committee, and General Faculties Council, approve the proposed new Copyright Regulations for the various Academic Staff Agreements.

Item

Action Requested	<input checked="" type="checkbox"/> Approval <input type="checkbox"/> Recommendation <input type="checkbox"/> Discussion/Advice <input type="checkbox"/> Information
Proposed by	Provost and Vice-President (Academic) and Vice-President (Research)
Presenter	Steven Dew, Provost and Vice-President (Academic); Lorne Babiuk, Vice-President (Research)
Subject	Proposed New Copyright Regulations

Details

Responsibility	Provost and Vice-President (Academic) and Vice-President (Research)
The Purpose of the Proposal is (please be specific)	To clarify when the staff member owns copyright, and when the University owns copyright.
The Impact of the Proposal is	To update and revise the language in Article 10 related to copyright in the various academic collective agreements (APO Agreement, Faculty Agreement, FSO Agreement, Librarian Agreement, CAST Agreement, SOTS Agreement, TRAS Agreement).
Replaces/Revises (eg, policies, resolutions)	Article 10 in the various Academic Staff Agreements.
Timeline/Implementation Date	July 1, 2016
Estimated Cost	N/A
Sources of Funding	N/A
Notes	<p>The rules regarding copyright created by academic staff at the University are based on two documents; the Post-Secondary Learning Act (PSLA) and the collective agreements between the Board and the AASUA.</p> <p>The PSLA states:</p> <p>Intellectual Property 68(1) Unless otherwise agreed to by the board, the ownership of any invention, work, information or material, regardless of form, including any patent, copyright, technological or industrial design process or trademark acquired or produced by an officer of the post-secondary institution or an employee of the board that results from or is connected with the officer's or employee's duties or employment vests in the board and may be made available to the public under conditions, on payment of fees or royalties or otherwise, as the board may determine.</p> <p>The collective agreements between the Board of Governors and AASUA have contained Copyright Regulations (as Articles and/or Appendices) since 1977. Over the years, there has been a significant amount of confusion when the parties have attempted to interpret the Copyright Regulations as it is not clear from the language when the University would own copyright and when it would be owned by the staff member. The generally accepted practice (although not strictly based on the language) has been to acknowledge that academic staff own the</p>

Item No. 3ei

	<p>copyright in their teaching materials, but the University has some sort of limited license to use that material.</p> <p>In 2010, the University of Alberta and the AASUA agreed to form an “Agreement Review Committee” that would examine two aspects of intellectual property: a) copyright and b) the emerging issue of intellectual property that is not covered by patent or copyright practices. The ARC that was created has focused solely on the first issue - copyright. This ARC has been meeting regularly since and has developed proposed new Copyright Regulations which would replace the existing regulations in their entirety. The ARC believes that the new language creates greater certainty as it relates to copyright ownership and use.</p> <p>The key elements of the proposed new Regulations include:</p> <ol style="list-style-type: none"> 1. <i>Clear ownership by academic staff of copyright in works they create as a result of or connected with their duties or employment.</i> 2. <i>An immediate, non-exclusive, royalty-free, non-transferable and irrevocable license to the University to use these works for purposes related to its approved mandate.</i> 3. <i>A more limited license to the University to use a staff member’s detailed teaching materials, for example if the staff member is unable or unavailable to deliver all or part of a course assigned to that staff member during that academic year.</i> 4. <i>Ownership by the University of copyright of works created by a staff member in the course of performing administrative or management duties or activities.</i> 5. <i>A clear statement that a staff member’s copyright in works created as part of a sponsored research agreement is governed by the terms of that agreement. This gives the University the right to alter copyright ownership in a sponsored research agreement, the way it is currently able to be done for Patentable Intellectual Property.</i> <p>*It is important to note that the proposed Regulations deal with copyright that is created by a University of Alberta academic staff member in performing his employment duties. It does <u>not</u> apply to the use by the University of copyright materials from other sources (textbooks, library books, online sources, etc). There is a separate policy suite being drafted that deals with such issues.</p>
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Alignment/Compliance

Alignment with Guiding Documents	Dare to Discover, Dare to Deliver, Comprehensive Institutional Plan, academic collective agreements
Compliance with Legislation, Policy and/or Procedure Relevant to the Proposal (please <u>quote</u> legislation and include identifying section numbers)	<p>1. Post-Secondary Learning Act (PSLA): Alberta’s Post-Secondary Learning Act (PSLA) gives the Board of Governors the authority to “develop, manage and operate, alone or in co-operation with any person or organization, programs, services and facilities for the educational or cultural advancement of the people of Alberta” (Section 60(1)).</p> <p>Further, the Board of Governors “must consider the recommendations of</p>

the general faculties council, if any, on matters of academic import prior to providing for [...] any other activities the board considers necessary or advantageous” (Section 19(e)).

2. Post-Secondary Learning Act (PSLA): Section 26(1) states that, “[s]ubject to the authority of the board, a general faculties council is responsible for the academic affairs of the university and, without restricting the generality of the foregoing, has the authority to [...] (o) make recommendations to the board with respect to affiliation with other institutions, academic planning, campus planning, a building program, the budget, the regulation of residences and dining halls, procedures in respect of appointments, promotions, salaries, tenure and dismissals, and any other matters considered by the general faculties council to be of interest to the university [...].”
Further, the PSLA, states in Section 31(1) that “[t]he general faculties council has general supervision of student affairs at a university [...].”

3. GFC Committee on the Learning Environment Terms of Reference (3. Mandate of the Committee)

“The Committee on the Learning Environment is responsible for making recommendations concerning policy matters and action matters with respect to the following: [...]

- b) To review and, as necessary, recommend to the GFC Academic Planning Committee or the GFC Executive Committee policies on teaching, learning, teaching evaluation, and recognition for teaching that promote the University’s Academic Plan. [...]
- i) To consider any matter deemed by the GFC Committee on the Learning Environment to be within the purview of its general responsibility.”

4. GFC Academic Planning Committee Terms of Reference (3. Mandate of the Committee)

“The Academic Planning Committee (APC) is GFC’s senior committee dealing with academic, financial and planning issues. As such, it is not only responsible to GFC (or the Board) for the specific matters itemized below, but may also ask to consider or recommend to GFC on any academic issue, including: 1) those issues under the purview of other GFC committees, 2) any academic issue related to restructuring, 3) any research-related issue, or 4) issues linked to academic service units where those issues have a significant academic impact. In like manner, the President, Provost and Vice-President (academic) or other Vice-Presidents may refer any matter to APC for consideration or recommendation to GFC. APC is also responsible to GFC for promoting an optimal learning environment for students and excellence in teaching, research, and graduate studies. (GFC 29 SEP 2003)”

5. GFC Executive Committee Terms of Reference (3. Mandate of the Committee)

“5. Agendas of General Faculties Council
GFC has delegated to the Executive Committee the authority to decide which items are placed on a GFC Agenda, and the order in which those agenda items appear on each GFC agenda. [...]
When recommendations are forwarded to General Faculties Council

Item No. 3ei

	<p>from APC, the role of the Executive shall be to decide the order in which items should be considered by GFC. The Executive Committee is responsible for providing general advice to the Chari about proposals being forwarded from APC to GFC.”</p> <p>6. Board Learning and Discovery Committee Terms of Reference (3. Mandate of the Committee) “Except as provided in paragraph 4 hereof and in the Board’s General Committee Terms of Reference, the Committee shall, in accordance with the Committee’s responsibilities with powers granted under the Post-Secondary Learning Act, monitor, evaluate, advise and make decisions on behalf of the Board with respect to matters concerning the teaching and research affairs of the University, including proposals coming from the administration and from General Faculties Council (the “GFC”), and shall consider future educational expectations and challenges to be faced by the University. The Committee shall also include any other matter delegated to the Committee by the Board.</p> <p>Without limiting the generality of the foregoing the Committee shall: a. review and approve initiatives related to the overall academic mission and related plans and policies of the University; b. review, provide feedback and approve teaching and research policies[.] [...]”</p> <p>7. Board Human Resources and Compensation Committee (3. Mandate of the Committee) “Except as provided in paragraph 4 and in the Board’s General Committee Terms of Reference, the Committee shall monitor, evaluate, advise and make decisions on behalf of the Board with respect to, and the Board delegates to the Committee responsibility and authority for, all policies and procedures affecting staff working condition sat the University and matters for collective bargaining and related service contracts. The Committee shall also consider any other matter delegated to the Committee by the Board.</p> <p>Without limiting the generality of the foregoing the Committee shall: (a) consider and propose changes in collective agreements and confirm the mandate for negotiating committees with all bargaining units;[...] (g) review and approve material changes to personnel policies of the University that are outside the regular collective bargaining process and consider trends affecting such policies;”</p>
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Routing (Include meeting dates)

<p>Participation: (parties who have seen the proposal and in what capacity)</p> <ul style="list-style-type: none"> • Those who have been informed • Those who have been consulted • Those who are actively participating 	<p>The Agreement Review Committee (ARC) on Copyright Regulations has met regularly since 2010, and both parties have also had numerous internal meetings. The composition of the ARC’s membership has changed significantly over time; the Vice-President (Research) has been a member from the beginning, as has Geoffrey Rockwell (Department of Philosophy). They have provided important continuity to the discussions over the past six years.</p> <p>During 2010, before detailed discussions began, a review of the copyright regulations of some of the University’s peer institutions in Canada (McGill, UBC, University of Toronto) and the US (University of Wisconsin, University of Michigan, Penn State) was carried out. This</p>
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Item No. 3ei

	<p>provided important context for the discussion about possible changes to the University's copyright regulations.</p> <p>While significant work was done by email between meetings, the ARC met face to face on the following dates: December 20, 2010; February 16, 2011; February 28, 2011; April 1, 2011; April 26, 2011; December 19, 2011; February 14, 2012; October 26, 2012; May 14, 2013; June 19, 2013; October 28, 2013; September 5, 2014; October 17, 2014; and December 11, 2014. A significant portion of 2015 was taken up with finalizing the wording of the Copyright Regulations as well as drafting and finalizing a series of Frequently Asked Questions which will be posted on the AASUA website following the approval of the new Copyright Regulations. The Memorandum of Agreement (MOA) was signed on February 26, 2016.</p> <p>There will be a parallel approval process, involving both the AASUA membership as well as GFC/Board. The approval route noted below is for GFC/Board, which is the responsibility of administration.</p> <p>On June 9, 2016, the proposal was ratified by AASUA membership.</p>
<p>Approval Route (Governance) (including meeting dates)</p>	<p>GFC Committee on the Learning Environment (for recommendation) – April 6, 2016 GFC Academic Planning Committee (for recommendation) – April 20, 2016 GFC Executive Committee (for recommendation) – May 16, 2016 General Faculties Council (for recommendation) – May 30, 2016 Board Human Resources and Compensation Committee (for recommendation) – May 30, 2016 Board Learning and Discovery Committee (for recommendation) – June 2, 2016 Board of Governors (for approval) – June 17, 2016</p>
<p>Final Approver</p>	<p>Board of Governors</p>

Attachments:

1. Memorandum of Agreement, signed by the AASUA and University administration on February 26, 2016 (27 pages)
2. Frequently Asked Questions Concerning the New Copyright Regulations, developed by the AASUA and University administration, dated March 5, 2016 (7 pages)

Prepared by: Katharine Moore, Office of the Vice-President (Research)
email: katharine.moore@ualberta.ca; phone x20868

MEMORANDUM OF AGREEMENT

Between:

**THE ASSOCIATION OF ACADEMIC STAFF:
UNIVERSITY OF ALBERTA**

(The "AASUA")

- and -

**THE GOVERNORS OF
THE UNIVERSITY OF ALBERTA**

(The "Board")

RE: COPYRIGHT

WHEREAS:

The various collective agreements between the Board and the AASUA contain provisions under Article 10, ("Copyright") and Appendix B ("Copyright Regulations") that relate to copyright ownership, which together comprise the "Copyright Rules";

The parties signed a Memorandum of Understanding dated January 12, 2010 to establish an Agreement Review Committee (ARC) for the purpose of reviewing and recommending changes to the Copyright Rules;

The ARC has been established and has completed its work in accordance with the Memorandum of Understanding;

THEREFORE the ARC is recommending ratification of the following changes to the Copyright Rules appearing under each of the following agreements:

1. FACULTY AGREEMENT

Article 10 is deleted in its entirety and replaced with the following:

- 10.01 Pursuant to the *Post-Secondary Learning Act* (Alberta), unless otherwise agreed to by the University, the ownership of any work, information or material, regardless of form, including any copyright acquired or produced by an employee of the University that results from or is connected with the employee's duties or employment, vests in the University and may be made available to the public under conditions, on payment of fees or royalties, as the University may determine.
- 10.02 The University hereby agrees that a staff member who creates a Work resulting from or connected with the staff member's duties or employment owns copyright in the Work.

- 10.03 Notwithstanding 10.02, the University will own or have an interest in certain Works, as described in Appendix B.
- 10.04 Appendix B contains the detailed terms regarding Works created by a staff member.

Appendix B is deleted in its entirety and replaced with the following;

**Appendix B
Copyright Regulations**

1. Ownership

- 1.1 Pursuant to 10.02 of the Agreement, a staff member who creates a Work resulting from or connected with the staff member's duties or employment owns copyright in the Work. However, the University owns or has an interest in Works as provided in 1.4 to 1.7 inclusive, 2.1 to 2.9 inclusive, 3.1, 5.1, and 5.2 of this Appendix.
- 1.2 For the purposes of this Appendix and Article 10 of the Agreement, "Work" or "Works" means anything in which copyright subsists pursuant to the *Copyright Act (Canada)*, whether published or unpublished. For greater certainty, Work includes: architectural works, artistic works, choreographic works, cinematographic works, collective works, dramatic works, literary works, musical works, compilations, performers' performances, sound recordings and communication signals, all as defined in the *Copyright Act (Canada)*.
- 1.3 A creator has moral rights in a Work, as provided under the *Copyright Act*. The Parties endorse and support the creator's right to manage those moral rights.
- 1.4 If a staff member creates a Work
- (a) in the course of performing administrative or management duties or activities for the University, a Department, or a Faculty, including all units therein associated (e.g., Centres and Institutes); or
 - (b) for the purposes of a committee or group of a Department, Faculty, or the University;
- then the University owns copyright in the Work.
- 1.5 If a staff member creates a Work pursuant to a written agreement between the staff member and the University, including an agreement under Article 7.02.2 of the Agreement, that agreement shall address the University's arrangement with the staff member regarding ownership or other interest in that Work.
- 1.6 If a staff member creates a Work under a sponsored research funding agreement with a third party funder, copyright ownership and licensing are governed by the terms of the sponsored research funding agreement. Because the University shall enter into the sponsored research funding agreement with the sponsor, the University has the right to obtain from the staff member an assignment or licence of the copyright as necessary to fulfill its obligations to the

sponsor under the sponsored research funding agreement. However, the staff member cannot unilaterally assign or licence Works that are not wholly owned or created by that staff member.

- 1.7 If a staff member creates a Work under any other agreement between the University and a third party, including but not limited to a secondment agreement or facility access agreement, copyright ownership and licensing are governed by the terms of the agreement between the University and the third party. To avoid any need for the staff member personally to transfer or agree to transfer rights relating to the Work to the third party (which may entail the personal liability of the staff member), the University has the right to obtain from the staff member an assignment or licence of the copyright as necessary to fulfill its obligations to the third party under the agreement. However, the staff member cannot unilaterally assign or licence Works that are not wholly owned or created by that staff member.

2 University Licence

General Principles

- 2.1 Subject to 2.2 to 2.9 inclusive, the University is and shall be entitled to an immediate, non-exclusive, royalty-free, non-transferable, irrevocable licence to use any Work created or produced by a staff member that results from or is connected with the staff member's duties or employment, for all purposes within the University's approved mandate pursuant to the *Post-Secondary Learning Act* (Alberta).
- 2.2 The purposes referred to in 2.1 include, but are not be limited to, unit accreditation, unit or University marketing, and any not-for-profit activity.
- 2.3 The licence contemplated by 2.1 does not apply if, as a result of reasonable academic or pedagogical publishing practice, a staff member must assign copyright to a Work to a third party as a condition of publication. In such a case, the staff member shall make best efforts to cause the third party to provide a licence to the University in relation to the Work, such licence containing terms that are analogous to those described in 2.1.
- 2.4 The licence contemplated by 2.1 does not preclude a staff member from agreeing with the University to grant any additional licence or other rights in and to a Work to the University.
- 2.5 A staff member, reasonably believing that his or her Work is unsatisfactory for a proposed use due to outdated, incompleteness, negative impact on the professional reputation of the staff member, or other academic grounds, may amend the Work or require that its use be withheld.

Limited Exception – Works Created to Fulfill Assigned Course Responsibilities

- 2.6 Except in the cases described in 2.7 to 2.9 inclusive, the licence contemplated by 2.1 does not apply to any Work created by a staff member to fulfill assigned course responsibilities under Articles 7.02.1 and 7.03.1 of the Agreement.

- 2.7 The licence contemplated by 2.1 includes those elements of a course outline that set out the information required by General Faculties Council policy, as described in the University Calendar.
- 2.8 If a staff member is unable or unavailable to deliver all or part of a course duly assigned to that staff member, the University may use the Work described in 2.6 to complete the delivery of the course. Such a licence will not be irrevocable, but instead will be for the duration of the course in that academic year.
- 2.9 The University may use a Work described in 2.6 for the purposes of unit accreditation, in connection with transfer credit determinations or as the University may be required to meet its obligations to students.

3. Computer Programs and the University Patent Policy

- 3.1 In addition to this Appendix, the University Patent Policy shall apply to a computer program that is patentable intellectual property.

4. Conflict of Interest and Conflict of Commitment

- 4.1 The University has an interest in ensuring that Works created by its own staff members are not used to compete with or undermine the University's educational mission or activities. Therefore, a staff member's creation and use of Works in which the staff member owns copyright remain subject to the University's conflict of interest and conflict of commitment policies.

5. Collaborative Works

- 5.1 Works created collaboratively by students, staff, faculty and/or others present special challenges with regard to copyright. Such works may be owned in whole or in part by the University, or the University may have rights in and to those Works if they fall within one of the categories described in 1.4 to 1.7 inclusive, 2.1 to 2.9 inclusive, or 3.1 of this Appendix.
- 5.2 Subject to 1.4 to 1.7 inclusive, 2.1 to 2.9 inclusive, or 3.1 of this Appendix, if a Work is created by a staff member and one or more other individuals governed by University collective agreements, policies, and procedures, as between the University and that staff member and the individual or individuals, each person's rights and obligations relating to the Work shall be determined by the applicable University collective agreements, policies, and procedures. In the case of some collaborative Works, especially those involving members of different categories of persons within the University community, the parties involved may decide to assign copyright to the University in order to coordinate distribution, use, and (when appropriate) revenue sharing.
- 5.3 If a Work is created by a staff member and an individual or individuals who are not subject to University collective agreements, policies, and procedures, ownership of copyright will be decided in accordance with:
- (a) a written agreement between that staff member and that individual or those individuals;

- (b) a written agreement between the University and another organization; or
- (c) in the absence of an agreement contemplated by (a) or (b), in accordance with the general law, except that this Appendix will apply to any interest held by the staff member, with the necessary changes.

6. Guidelines

- 6.1 The University may publish guidelines, recommendations, and explanatory notes which shall not form part of this Appendix, to assist staff members and others to structure collaborations in ways that maximize certainty and minimize conflicts respecting interests in Works, and to assist in the application or use of this Appendix.

2. FACULTY SERVICE OFFICER AGREEMENT

Article 10 is deleted in its entirety and replaced with the following:

- 10.01 Pursuant to the *Post-Secondary Learning Act (Alberta)*, unless otherwise agreed to by the University, the ownership of any work, information or material, regardless of form, including any copyright acquired or produced by an employee of the University that results from or is connected with the employee's duties or employment, vests in the University and may be made available to the public under conditions, on payment of fees or royalties, as the University may determine.
- 10.02 The University hereby agrees that a staff member who creates a Work resulting from or connected with the staff member's duties or employment owns copyright in the Work.
- 10.03 Notwithstanding 10.02, the University will own or have an interest in certain Works, as described in Appendix B.
- 10.04 Appendix B contains the detailed terms regarding Works created by a staff member.

Appendix B is deleted in its entirety and replaced with the following;

Appendix B Copyright Regulations

1. Ownership

- 1.1 Pursuant to 10.02 of the Agreement, a staff member who creates a Work resulting from or connected with the staff member's duties or employment owns copyright in the Work. However, the University owns or has an interest in Works as provided in 1.4 to 1.7 inclusive, 2.1 to 2.9 inclusive, 3.1, 5.1, and 5.2 of this Appendix.

- 1.2 For the purposes of this Appendix and Article 10 of the Agreement, “Work” or “Works” means anything in which copyright subsists pursuant to the *Copyright Act (Canada)*, whether published or unpublished. For greater certainty, Work includes: architectural works, artistic works, choreographic works, cinematographic works, collective works, dramatic works, literary works, musical works, compilations, performers’ performances, sound recordings and communication signals, all as defined in the *Copyright Act (Canada)*.
- 1.3 A creator has moral rights in a Work, as provided under the *Copyright Act*. The Parties endorse and support the creator’s right to manage those moral rights.
- 1.4 If a staff member creates a Work
- (a) in the course of performing administrative or management duties or activities for the University, a Department, or a Faculty, including all units therein associated (e.g., Centres and Institutes); or
 - (b) for the purposes of a committee or group of a Department, Faculty, or the University;
- then the University owns copyright in the Work.
- 1.5 If a staff member creates a Work pursuant to a written agreement between the staff member and the University, that agreement shall address the University’s arrangement with the staff member regarding ownership or other interest in that Work.
- 1.6 If a staff member creates a Work under a sponsored research funding agreement with a third party funder, copyright ownership and licensing are governed by the terms of the sponsored research funding agreement. Because the University shall enter into the sponsored research funding agreement with the sponsor, the University has the right to obtain from the staff member an assignment or licence of the copyright as necessary to fulfill its obligations to the sponsor under the sponsored research funding agreement. However, the staff member cannot unilaterally assign or licence Works that are not wholly owned or created by that staff member.
- 1.7 If a staff member creates a Work under any other agreement between the University and a third party, including but not limited to a secondment agreement or facility access agreement, copyright ownership and licensing are governed by the terms of the agreement between the University and the third party. To avoid any need for the staff member personally to transfer or agree to transfer rights relating to the Work to the third party (which may entail the personal liability of the staff member), the University has the right to obtain from the staff member an assignment or licence of the copyright as necessary to fulfill its obligations to the third party under the agreement. However, the staff member cannot unilaterally assign or licence Works that are not wholly owned or created by that staff member.

2 University Licence

General Principles

- 2.1 Subject to 2.2 to 2.9 inclusive, the University is and shall be entitled to an immediate, non-exclusive, royalty-free, non-transferable, irrevocable licence to use any Work created or produced by a staff member that results from or is connected with the staff member's duties or employment, for all purposes within the University's approved mandate pursuant to the *Post-Secondary Learning Act (Alberta)*.
- 2.2 The purposes referred to in 2.1 include, but are not be limited to, unit accreditation, unit or University marketing, and any not-for-profit activity.
- 2.3 The licence contemplated by 2.1 does not apply if, as a result of reasonable academic or pedagogical publishing practice, a staff member must assign copyright to a Work to a third party as a condition of publication. In such a case, the staff member shall make best efforts to cause the third party to provide a licence to the University in relation to the Work, such licence containing terms that are analogous to those described in 2.1.
- 2.4 The licence contemplated by 2.1 does not preclude a staff member from agreeing with the University to grant any additional licence or other rights in and to a Work to the University.
- 2.5 A staff member, reasonably believing that his or her Work is unsatisfactory for a proposed use due to outdatedness, incompleteness, negative impact on the professional reputation of the staff member, or other academic grounds, may amend the Work or require that its use be withheld.

Limited Exception – Works Created to Fulfill Assigned Course Responsibilities

- 2.6 Except in the cases described in 2.7 to 2.9 inclusive, the licence contemplated by 2.1 does not apply to any Work created by a staff member to fulfill assigned course responsibilities under Articles 7.01 and 7.02 of the Agreement.
- 2.7 The licence contemplated by 2.1 includes those elements of a course outline that set out the information required by General Faculties Council policy, as described in the University Calendar.
- 2.8 If a staff member is unable or unavailable to deliver all or part of a course duly assigned to that staff member, the University may use the Work described in 2.6 to complete the delivery of the course. Such a licence will not be irrevocable, but instead will be for the duration of the course in that academic year.
- 2.9 The University may use a Work described in 2.6 for the purposes of unit accreditation, in connection with transfer credit determinations or as the University may be required to meet its obligations to students.

3. Computer Programs and the University Patent Policy

- 3.1 In addition to this Appendix, the University Patent Policy shall apply to a computer program that is patentable intellectual property.

4. Conflict of Interest and Conflict of Commitment

- 4.1 The University has an interest in ensuring that Works created by its own staff members are not used to compete with or undermine the University's educational mission or activities. Therefore, a staff member's creation and use of Works in which the staff member owns copyright remain subject to the University's conflict of interest and conflict of commitment policies.

5. Collaborative Works

- 5.1 Works created collaboratively by students, staff, faculty and/or others present special challenges with regard to copyright. Such works may be owned in whole or in part by the University, or the University may have rights in and to those Works if they fall within one of the categories described in 1.4 to 1.7 inclusive, 2.1 to 2.9 inclusive, or 3.1 of this Appendix.
- 5.2 Subject to 1.4 to 1.7 inclusive, 2.1 to 2.9 inclusive, or 3.1 of this Appendix, if a Work is created by a staff member and one or more other individuals governed by University collective agreements, policies, and procedures, as between the University and that staff member and the individual or individuals, each person's rights and obligations relating to the Work shall be determined by the applicable University collective agreements, policies, and procedures. In the case of some collaborative Works, especially those involving members of different categories of persons within the University community, the parties involved may decide to assign copyright to the University in order to coordinate distribution, use, and (when appropriate) revenue sharing.
- 5.3 If a Work is created by a staff member and an individual or individuals who are not subject to University collective agreements, policies, and procedures, ownership of copyright will be decided in accordance with:
- (a) a written agreement between that staff member and that individual or those individuals;
 - (b) a written agreement between the University and another organization; or
 - (c) in the absence of an agreement contemplated by (a) or (b), in accordance with the general law, except that this Appendix will apply to any interest held by the staff member, with the necessary changes.

6. Guidelines

- 6.1 The University may publish guidelines, recommendations, and explanatory notes which shall not form part of this Appendix, to assist staff members and others to structure collaborations in ways that maximize certainty and minimize conflicts respecting interests in Works, and to assist in the application or use of this Appendix.

3. LIBRARIAN AGREEMENT

Article 10 is deleted in its entirety and replaced with the following:

- 10.01 Pursuant to the *Post-Secondary Learning Act* (Alberta), unless otherwise agreed to by the University, the ownership of any work, information or material, regardless of form, including any copyright acquired or produced by an employee of the University that results from or is connected with the employee's duties or employment, vests in the University and may be made available to the public under conditions, on payment of fees or royalties, as the University may determine.
- 10.02 The University hereby agrees that a staff member who creates a Work resulting from or connected with the staff member's duties or employment owns copyright in the Work.
- 10.03 Notwithstanding 10.02, the University will own or have an interest in certain Works, as described in Appendix B.
- 10.04 Appendix B contains the detailed terms regarding Works created by a staff member.

Appendix B is deleted in its entirety and replaced with the following;

**Appendix B
Copyright Regulations**

1. Ownership

- 1.1 Pursuant to 10.02 of the Agreement, a staff member who creates a Work resulting from or connected with the staff member's duties or employment owns copyright in the Work. However, the University owns or has an interest in Works as provided in 1.4 to 1.7 inclusive, 2.1 to 2.9 inclusive, 3.1, 5.1, and 5.2 of this Appendix.
- 1.2 For the purposes of this Appendix and Article 10 of the Agreement, "Work" or "Works" means anything in which copyright subsists pursuant to the *Copyright Act* (Canada), whether published or unpublished. For greater certainty, Work includes: architectural works, artistic works, choreographic works, cinematographic works, collective works, dramatic works, literary works, musical works, compilations, performers' performances, sound recordings and communication signals, all as defined in the *Copyright Act* (Canada).
- 1.3 A creator has moral rights in a Work, as provided under the *Copyright Act*. The Parties endorse and support the creator's right to manage those moral rights.
- 1.4 If a staff member creates a Work
- (a) in the course of performing administrative or management duties or activities for the University, a Department, or a Faculty, including all units therein associated (e.g., Centres and Institutes); or
 - (b) for the purposes of a committee or group of a Department, Faculty, or the University;
- then the University owns copyright in the Work.

- 1.5 If a staff member creates a Work pursuant to a written agreement between the staff member and the University, that agreement shall address the University's arrangement with the staff member regarding ownership or other interest in that Work.
- 1.6 If a staff member creates a Work under a sponsored research funding agreement with a third party funder, copyright ownership and licensing are governed by the terms of the sponsored research funding agreement. Because the University shall enter into the sponsored research funding agreement with the sponsor, the University has the right to obtain from the staff member an assignment or licence of the copyright as necessary to fulfill its obligations to the sponsor under the sponsored research funding agreement. However, the staff member cannot unilaterally assign or licence Works that are not wholly owned or created by that staff member.
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General Principles

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- 2.4 The licence contemplated by 2.1 does not preclude a staff member from agreeing with the University to grant any additional licence or other rights in and to a Work to the University.
- 2.5 A staff member, reasonably believing that his or her Work is unsatisfactory for a proposed use due to outdated, incompleteness, negative impact on the professional reputation of the staff member, or other academic grounds, may amend the Work or require that its use be withheld.

Limited Exception – Works Created to Fulfill Assigned Course Responsibilities

- 2.6 Except in the cases described in 2.7 to 2.9 inclusive, the licence contemplated by 2.1 does not apply to any Work created by a staff member to fulfill assigned course responsibilities under Articles 7.01.1, 7.01.2, 7.02.2 and 7.03 of the Agreement.
- 2.7 The licence contemplated by 2.1 includes those elements of a course outline that set out the information required by General Faculties Council policy, as described in the University Calendar.
- 2.8 If a staff member is unable or unavailable to deliver all or part of a course duly assigned to that staff member, the University may use the Work described in 2.6 to complete the delivery of the course. Such a licence will not be irrevocable, but instead will be for the duration of the course in that academic year.
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- 5.2 Subject to 1.4 to 1.7 inclusive, 2.1 to 2.9 inclusive, or 3.1 of this Appendix, if a Work is created by a staff member and one or more other individuals governed by University collective agreements, policies, and procedures, as between the University and that staff member and the individual or individuals, each person's rights and obligations relating to the Work shall be determined by the applicable University collective agreements, policies, and procedures. In the case of some collaborative Works, especially those involving members of different categories of persons within the University community, the parties involved may decide to assign

copyright to the University in order to coordinate distribution, use, and (when appropriate) revenue sharing.

- 5.3 If a Work is created by a staff member and an individual or individuals who are not subject to University collective agreements, policies, and procedures, ownership of copyright will be decided in accordance with:
- (a) a written agreement between that staff member and that individual or those individuals;
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 - (c) in the absence of an agreement contemplated by (a) or (b), in accordance with the general law, except that this Appendix will apply to any interest held by the staff member, with the necessary changes.

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4. ADMINISTRATIVE AND PROFESSIONAL OFFICER AGREEMENT

Article 10 is deleted in its entirety and replaced with the following:

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- 10.04 Appendix B contains the detailed terms regarding Works created by a staff member.

Appendix B is deleted in its entirety and replaced with the following;

Appendix B Copyright Regulations

1. Ownership

- 1.1 Pursuant to 10.02 of the Agreement, a staff member who creates a Work resulting from or connected with the staff member's duties or employment owns copyright in the Work. However, the University owns or has an interest in Works as provided in 1.4 to 1.7 inclusive, 2.1 to 2.9 inclusive, 3.1, 5.1, and 5.2 of this Appendix.
- 1.2 For the purposes of this Appendix and Article 10 of the Agreement, "Work" or "Works" means anything in which copyright subsists pursuant to the *Copyright Act (Canada)*, whether published or unpublished. For greater certainty, Work includes: architectural works, artistic works, choreographic works, cinematographic works, collective works, dramatic works, literary works, musical works, compilations, performers' performances, sound recordings and communication signals, all as defined in the *Copyright Act (Canada)*.
- 1.3 A creator has moral rights in a Work, as provided under the *Copyright Act*. The Parties endorse and support the creator's right to manage those moral rights.
- 1.4 If a staff member creates a Work
- (a) in the course of performing administrative or management duties or activities for the University, a Department, or a Faculty, including all units therein associated (e.g., Centres and Institutes); or
 - (b) for the purposes of a committee or group of a Department, Faculty, or the University;
- then the University owns copyright in the Work.
- 1.5 If a staff member creates a Work pursuant to a written agreement between the staff member and the University, that agreement shall address the University's arrangement with the staff member regarding ownership or other interest in that Work.
- 1.6 If a staff member creates a Work under a sponsored research funding agreement with a third party funder, copyright ownership and licensing are governed by the terms of the sponsored research funding agreement. Because the University shall enter into the sponsored research funding agreement with the sponsor, the University has the right to obtain from the staff member an assignment or licence of the copyright as necessary to fulfill its obligations to the sponsor under the sponsored research funding agreement. However, the staff member cannot unilaterally assign or licence Works that are not wholly owned or created by that staff member.
- 1.7 If a staff member creates a Work under any other agreement between the University and a third party, including but not limited to a secondment agreement or facility access agreement, copyright ownership and licensing are governed by the terms of the agreement between the University and the third party. To avoid any need for the staff member personally to transfer or agree to transfer rights relating to the Work to the third party (which may entail the personal liability of the staff member), the University has the right to obtain from the staff member an assignment or licence of the copyright as necessary to fulfill its obligations to the

third party under the agreement. However, the staff member cannot unilaterally assign or licence Works that are not wholly owned or created by that staff member.

2 University Licence

General Principles

- 2.1 Subject to 2.2 to 2.9 inclusive, the University is and shall be entitled to an immediate, non-exclusive, royalty-free, non-transferable, irrevocable licence to use any Work created or produced by a staff member that results from or is connected with the staff member's duties or employment, for all purposes within the University's approved mandate pursuant to the *Post-Secondary Learning Act (Alberta)*.
- 2.2 The purposes referred to in 2.1 include, but are not be limited to, unit accreditation, unit or University marketing, and any not-for-profit activity.
- 2.3 The licence contemplated by 2.1 does not apply if, as a result of reasonable academic or pedagogical publishing practice, a staff member must assign copyright to a Work to a third party as a condition of publication. In such a case, the staff member shall make best efforts to cause the third party to provide a licence to the University in relation to the Work, such licence containing terms that are analogous to those described in 2.1.
- 2.4 The licence contemplated by 2.1 does not preclude a staff member from agreeing with the University to grant any additional licence or other rights in and to a Work to the University.
- 2.5 A staff member, reasonably believing that his or her Work is unsatisfactory for a proposed use due to outdated, incompleteness, negative impact on the professional reputation of the staff member, or other academic grounds, may amend the Work or require that its use be withheld.

Limited Exception – Works Created to Fulfill Assigned Course Responsibilities

- 2.6 Except in the cases described in 2.7 to 2.9 inclusive, the licence contemplated by 2.1 does not apply to any Work created by a staff member to fulfill assigned course responsibilities under Articles 8.02 of the Agreement.
- 2.7 The licence contemplated by 2.1 includes those elements of a course outline that set out the information required by General Faculties Council policy, as described in the University Calendar.
- 2.8 If a staff member is unable or unavailable to deliver all or part of a course duly assigned to that staff member, the University may use the Work described in 2.6 to complete the delivery of the course. Such a licence will not be irrevocable, but instead will be for the duration of the course in that academic year.
- 2.9 The University may use a Work described in 2.6 for the purposes of unit accreditation, in connection with transfer credit determinations or as the University may be required to meet its obligations to students.

3. Computer Programs and the University Patent Policy

- 3.1 In addition to this Appendix, the University Patent Policy shall apply to a computer program that is patentable intellectual property.

4. Conflict of Interest and Conflict of Commitment

- 4.1 The University has an interest in ensuring that Works created by its own staff members are not used to compete with or undermine the University's educational mission or activities. Therefore, a staff member's creation and use of Works in which the staff member owns copyright remain subject to the University's conflict of interest and conflict of commitment policies.

5. Collaborative Works

- 5.1 Works created collaboratively by students, staff, faculty and/or others present special challenges with regard to copyright. Such works may be owned in whole or in part by the University, or the University may have rights in and to those Works if they fall within one of the categories described in 1.4 to 1.7 inclusive, 2.1 to 2.9 inclusive, or 3.1 of this Appendix.
- 5.2 Subject to 1.4 to 1.7 inclusive, 2.1 to 2.9 inclusive, or 3.1 of this Appendix, if a Work is created by a staff member and one or more other individuals governed by University collective agreements, policies, and procedures, as between the University and that staff member and the individual or individuals, each person's rights and obligations relating to the Work shall be determined by the applicable University collective agreements, policies, and procedures. In the case of some collaborative Works, especially those involving members of different categories of persons within the University community, the parties involved may decide to assign copyright to the University in order to coordinate distribution, use, and (when appropriate) revenue sharing.
- 5.3 If a Work is created by a staff member and an individual or individuals who are not subject to University collective agreements, policies, and procedures, ownership of copyright will be decided in accordance with:
- (a) a written agreement between that staff member and that individual or those individuals;
 - (b) a written agreement between the University and another organization; or
 - (c) in the absence of an agreement contemplated by (a) or (b), in accordance with the general law, except that this Appendix will apply to any interest held by the staff member, with the necessary changes.

6. Guidelines

- 6.1 The University may publish guidelines, recommendations, and explanatory notes which shall not form part of this Appendix, to assist staff members and others to structure collaborations in ways that maximize certainty and minimize conflicts respecting interests in Works, and to assist in the application or use of this Appendix.

5. CONTRACT ACADEMIC STAFF: TEACHING AGREEMENT

Article 10 is deleted in its entirety and replaced with the following:

- 10.01 Pursuant to the *Post-Secondary Learning Act (Alberta)*, unless otherwise agreed to by the University, the ownership of any work, information or material, regardless of form, including any copyright acquired or produced by an employee of the University that results from or is connected with the employee's duties or employment, vests in the University and may be made available to the public under conditions, on payment of fees or royalties, as the University may determine.
- 10.02 The University hereby agrees that a staff member who creates a Work resulting from or connected with the staff member's duties or employment owns copyright in the Work.
- 10.03 Notwithstanding 10.02, the University will own or have an interest in certain Works, as described in Appendix E.
- 10.04 Appendix E contains the detailed terms regarding Works created by a staff member.

Appendix E is deleted in its entirety and replaced with the following:

Appendix E Copyright Regulations

1. Ownership

- 1.1 Pursuant to 10.02 of the Agreement, a staff member who creates a Work resulting from or connected with the staff member's duties or employment owns copyright in the Work. However, the University owns or has an interest in Works as provided in 1.4 to 1.7 inclusive, 2.1 to 2.10 inclusive, 3.1, 5.1, and 5.2 of this Appendix.
- 1.2 For the purposes of this Appendix and Article 10 of the Agreement, "Work" or "Works" means anything in which copyright subsists pursuant to the *Copyright Act (Canada)*, whether published or unpublished. For greater certainty, Work includes: architectural works, artistic works, choreographic works, cinematographic works, collective works, dramatic works, literary works, musical works, compilations, performers' performances, sound recordings and communication signals, all as defined in the *Copyright Act (Canada)*.
- 1.3 A creator has moral rights in a Work, as provided under the *Copyright Act*. The Parties endorse and support the creator's right to manage those moral rights.
- 1.4 If a staff member creates a Work

(a) in the course of performing administrative or management duties or activities for the University, a Department, or a Faculty, including all units therein associated (e.g., Centres and Institutes); or

(b) for the purposes of a committee or group of a Department, Faculty, or the University;

then the University owns copyright in the Work.

1.5 If a staff member creates a Work pursuant to a written agreement between the staff member and the University, that agreement shall address the University's arrangement with the staff member regarding ownership or other interest in that Work.

1.6 If a staff member creates a Work under a sponsored research funding agreement with a third party funder, copyright ownership and licensing are governed by the terms of the sponsored research funding agreement. Because the University shall enter into the sponsored research funding agreement with the sponsor, the University has the right to obtain from the staff member an assignment or licence of the copyright as necessary to fulfill its obligations to the sponsor under the sponsored research funding agreement. However, the staff member cannot unilaterally assign or licence Works that are not wholly owned or created by that staff member.

1.7 If a staff member creates a Work under any other agreement between the University and a third party, including but not limited to a secondment agreement or facility access agreement, copyright ownership and licensing are governed by the terms of the agreement between the University and the third party. To avoid any need for the staff member personally to transfer or agree to transfer rights relating to the Work to the third party (which may entail the personal liability of the staff member), the University has the right to obtain from the staff member an assignment or licence of the copyright as necessary to fulfill its obligations to the third party under the agreement. However, the staff member cannot unilaterally assign or licence Works that are not wholly owned or created by that staff member.

2 University Licence

General Principles

2.1 Subject to 2.2 to 2.10 inclusive, the University is and shall be entitled to an immediate, non-exclusive, royalty-free, non-transferable, irrevocable licence to use any Work created or produced by a staff member that results from or is connected with the staff member's duties or employment, for all purposes within the University's approved mandate pursuant to the *Post-Secondary Learning Act (Alberta)*.

2.2 The purposes referred to in 2.1 include, but are not be limited to, unit accreditation, unit or University marketing, and any not-for-profit activity.

2.3 The licence contemplated by 2.1 does not apply if, as a result of reasonable academic or pedagogical publishing practice, a staff member must assign copyright to a Work to a third party as a condition of publication. In such a case, the staff member shall make best efforts to

cause the third party to provide a licence to the University in relation to the Work, such licence containing terms that are analogous to those described in 2.1.

- 2.4 The licence contemplated by 2.1 does not preclude a staff member from agreeing with the University to grant any additional licence or other rights in and to a Work to the University.
- 2.5 A staff member, reasonably believing that his or her Work is unsatisfactory for a proposed use due to outdating, incompleteness, negative impact on the professional reputation of the staff member, or other academic grounds, may amend the Work or require that its use be withheld.

Limited Exception – Works Created to Fulfill Assigned Course Responsibilities

- 2.6 Except in the cases described in 2.7 to 2.10 inclusive, the licence contemplated by 2.1 does not apply to any Work created by a staff member to fulfill assigned course responsibilities under Articles 8.01 and 8.03 of the Agreement.
- 2.7 The licence contemplated by 2.1 includes those elements of a course outline that set out the information required by General Faculties Council policy, as described in the University Calendar.
- 2.8 If a staff member is unable or unavailable to deliver all or part of a course duly assigned to that staff member, the University may use the Work described in 2.6 to complete the delivery of the course. Such a licence will not be irrevocable, but instead will be for the duration of the course in that academic year.
- 2.9 The University may use a Work described in 2.6 for the purposes of unit accreditation, in connection with transfer credit determinations or as the University may be required to meet its obligations to students.
- 2.10 If a staff member is assigned course responsibilities under Article 8.03 of the Agreement that entail the preparation of course materials for use in multiple courses or courses taught in multiple sections, the licence contemplated by 2.1 applies to those materials for a term of three (3) years from the date that the materials are last revised by the staff member and it shall not be an interference in the creator's moral rights for the University to modify the course materials as required for the purpose of keeping them current.

3. Computer Programs and the University Patent Policy

- 3.1 In addition to this Appendix, the University Patent Policy shall apply to a computer program that is patentable intellectual property.

4. Conflict of Interest and Conflict of Commitment

- 4.1 The University has an interest in ensuring that Works created by its own staff members are not used to compete with or undermine the University's educational mission or activities. Therefore, a staff member's creation and use of Works in which the staff member owns

copyright remain subject to the University's conflict of interest and conflict of commitment policies.

5. Collaborative Works

- 5.1 Works created collaboratively by students, staff, faculty and/or others present special challenges with regard to copyright. Such works may be owned in whole or in part by the University, or the University may have rights in and to those Works if they fall within one of the categories described in 1.4 to 1.7 inclusive, 2.1 to 2.10 inclusive, or 3.1 of this Appendix.
- 5.2 Subject to 1.4 to 1.7 inclusive, 2.1 to 2.10 inclusive, or 3.1 of this Appendix, if a Work is created by a staff member and one or more other individuals governed by University collective agreements, policies, and procedures, as between the University and that staff member and the individual or individuals, each person's rights and obligations relating to the Work shall be determined by the applicable University collective agreements, policies, and procedures. In the case of some collaborative Works, especially those involving members of different categories of persons within the University community, the parties involved may decide to assign copyright to the University in order to coordinate distribution, use, and (when appropriate) revenue sharing.
- 5.3 If a Work is created by a staff member and an individual or individuals who are not subject to University collective agreements, policies, and procedures, ownership of copyright will be decided in accordance with:
- (a) a written agreement between that staff member and that individual or those individuals;
 - (b) a written agreement between the University and another organization; or
 - (c) in the absence of an agreement contemplated by (a) or (b), in accordance with the general law, except that this Appendix will apply to any interest held by the staff member, with the necessary changes.

6. Guidelines

- 6.1 The University may publish guidelines, recommendations, and explanatory notes which shall not form part of this Appendix, to assist staff members and others to structure collaborations in ways that maximize certainty and minimize conflicts respecting interests in Works, and to assist in the application or use of this Appendix.

6. TRUST/RESEARCH ACADEMIC STAFF

Article 10 is deleted in its entirety and replaced with the following:

- 10.01 Pursuant to the *Post-Secondary Learning Act* (Alberta), unless otherwise agreed to by the University, the ownership of any work, information or material, regardless of form, including any copyright acquired or produced by an employee of the University that results from or is connected with the employee's duties or employment, vests in the University and may be

made available to the public under conditions, on payment of fees or royalties, as the University may determine.

- 10.02 The University hereby agrees that a staff member who creates a Work resulting from or connected with the staff member's duties or employment owns copyright in the Work.
- 10.03 Notwithstanding 10.02, the University will own or have an interest in certain Works, as described in Appendix F.
- 10.04 Appendix F contains the detailed terms regarding Works created by a staff member.

Appendix F is deleted in its entirety and replaced with the following;

Appendix F Copyright Regulations

1. Ownership

- 1.1 Pursuant to 10.02 of the Agreement, a staff member who creates a Work resulting from or connected with the staff member's duties or employment owns copyright in the Work. However, the University owns or has an interest in Works as provided in 1.4 to 1.7 inclusive, 2.1 to 2.10 inclusive, 3.1, 5.1, and 5.2 of this Appendix.
- 1.2 For the purposes of this Appendix and Article 10 of the Agreement, "Work" or "Works" means anything in which copyright subsists pursuant to the *Copyright Act (Canada)*, whether published or unpublished. For greater certainty, Work includes: architectural works, artistic works, choreographic works, cinematographic works, collective works, dramatic works, literary works, musical works, compilations, performers' performances, sound recordings and communication signals, all as defined in the *Copyright Act (Canada)*.
- 1.3 A creator has moral rights in a Work, as provided under the *Copyright Act*. The Parties endorse and support the creator's right to manage those moral rights.
- 1.4 If a staff member creates a Work
 - (a) in the course of performing administrative or management duties or activities for the University, a Department, or a Faculty, including all units therein associated (e.g., Centres and Institutes); or
 - (b) for the purposes of a committee or group of a Department, Faculty, or the University;then the University owns copyright in the Work.
- 1.5 If a staff member creates a Work pursuant to a written agreement between the staff member and the University, that agreement shall address the University's arrangement with the staff member regarding ownership or other interest in that Work.

- 1.6 If a staff member creates a Work under a sponsored research funding agreement with a third party funder, copyright ownership and licensing are governed by the terms of the sponsored research funding agreement. Because the University shall enter into the sponsored research funding agreement with the sponsor, the University has the right to obtain from the staff member an assignment or licence of the copyright as necessary to fulfill its obligations to the sponsor under the sponsored research funding agreement. However, the staff member cannot unilaterally assign or licence Works that are not wholly owned or created by that staff member.
- 1.7 If a staff member creates a Work under any other agreement between the University and a third party, including but not limited to a secondment agreement or facility access agreement, copyright ownership and licensing are governed by the terms of the agreement between the University and the third party. To avoid any need for the staff member personally to transfer or agree to transfer rights relating to the Work to the third party (which may entail the personal liability of the staff member), the University has the right to obtain from the staff member an assignment or licence of the copyright as necessary to fulfill its obligations to the third party under the agreement. However, the staff member cannot unilaterally assign or licence Works that are not wholly owned or created by that staff member.

2 University Licence

General Principles

- 2.1 Subject to 2.2 to 2.10 inclusive, the University is and shall be entitled to an immediate, non-exclusive, royalty-free, non-transferable, irrevocable licence to use any Work created or produced by a staff member that results from or is connected with the staff member's duties or employment, for all purposes within the University's approved mandate pursuant to the *Post-Secondary Learning Act (Alberta)*.
- 2.2 The purposes referred to in 2.1 include, but are not be limited to, unit accreditation, unit or University marketing, and any not-for-profit activity.
- 2.3 The licence contemplated by 2.1 does not apply if, as a result of reasonable academic or pedagogical publishing practice, a staff member must assign copyright to a Work to a third party as a condition of publication. In such a case, the staff member shall make best efforts to cause the third party to provide a licence to the University in relation to the Work, such licence containing terms that are analogous to those described in 2.1.
- 2.4 The licence contemplated by 2.1 does not preclude a staff member from agreeing with the University to grant any additional licence or other rights in and to a Work to the University.
- 2.5 A staff member, reasonably believing that his or her Work is unsatisfactory for a proposed use due to outdated, incompleteness, negative impact on the professional reputation of the staff member, or other academic grounds, may amend the Work or require that its use be withheld.

Limited Exception – Works Created to Fulfill Assigned Course Responsibilities

- 2.6 Except in the cases described in 2.7 to 2.10 inclusive, the licence contemplated by 2.1 does not apply to any Work created by a staff member to fulfill assigned course responsibilities under Articles 7.01, 7.03 and 7.05 of the Agreement.
- 2.7 The licence contemplated by 2.1 includes those elements of a course outline that set out the information required by General Faculties Council policy, as described in the University Calendar.
- 2.8 If a staff member is unable or unavailable to deliver all or part of a course duly assigned to that staff member, the University may use the Work described in 2.6 to complete the delivery of the course. Such a licence will not be irrevocable, but instead will be for the duration of the course in that academic year.
- 2.9 The University may use a Work described in 2.6 for the purposes of unit accreditation, in connection with transfer credit determinations or as the University may be required to meet its obligations to students.
- 2.10 If a staff member is assigned course responsibilities under Article 7.03 of the Agreement that entail the preparation of course materials for use in multiple courses or courses taught in multiple sections, the licence contemplated by 2.1 applies to those materials and it shall not be an interference in the creator's moral rights for the University to modify the course materials as required for the purpose of keeping them current.

3. Computer Programs and the University Patent Policy

- 3.1 In addition to this Appendix, the University Patent Policy shall apply to a computer program that is patentable intellectual property.

4. Conflict of Interest and Conflict of Commitment

- 4.1 The University has an interest in ensuring that Works created by its own staff members are not used to compete with or undermine the University's educational mission or activities. Therefore, a staff member's creation and use of Works in which the staff member owns copyright remain subject to the University's conflict of interest and conflict of commitment policies.

5. Collaborative Works

- 5.1 Works created collaboratively by students, staff, faculty and/or others present special challenges with regard to copyright. Such works may be owned in whole or in part by the University, or the University may have rights in and to those Works if they fall within one of the categories described in 1.4 to 1.7 inclusive, 2.1 to 2.10 inclusive, or 3.1 of this Appendix.
- 5.2 Subject to 1.4 to 1.7 inclusive, 2.1 to 2.10 inclusive, or 3.1 of this Appendix, if a Work is created by a staff member and one or more other individuals governed by University collective agreements, policies, and procedures, as between the University and that staff member and the individual or individuals, each person's rights and obligations relating to the Work shall be determined by the applicable University collective agreements, policies, and procedures. In the

case of some collaborative Works, especially those involving members of different categories of persons within the University community, the parties involved may decide to assign copyright to the University in order to coordinate distribution, use, and (when appropriate) revenue sharing.

- 5.3 If a Work is created by a staff member and an individual or individuals who are not subject to University collective agreements, policies, and procedures, ownership of copyright will be decided in accordance with:
- (a) a written agreement between that staff member and that individual or those individuals;
 - (b) a written agreement between the University and another organization; or
 - (c) in the absence of an agreement contemplated by (a) or (b), in accordance with the general law, except that this Appendix will apply to any interest held by the staff member, with the necessary changes.

6. Guidelines

- 6.1 The University may publish guidelines, recommendations, and explanatory notes which shall not form part of this Appendix, to assist staff members and others to structure collaborations in ways that maximize certainty and minimize conflicts respecting interests in Works, and to assist in the application or use of this Appendix.

7. SESSIONALS AND OTHER TEMPORARY STAFF

Article 10 is deleted in its entirety and replaced with the following:

- 10.01 Pursuant to the *Post-Secondary Learning Act (Alberta)*, unless otherwise agreed to by the University, the ownership of any work, information or material, regardless of form, including any copyright acquired or produced by an employee of the University that results from or is connected with the employee's duties or employment, vests in the University and may be made available to the public under conditions, on payment of fees or royalties, as the University may determine.
- 10.02 The University hereby agrees that a staff member who creates a Work resulting from or connected with the staff member's duties or employment owns copyright in the Work.
- 10.03 Notwithstanding 10.02, the University will own or have an interest in certain Works, as described in Appendix E.
- 10.04 Appendix E contains the detailed terms regarding Works created by a staff member.

Appendix E is deleted in its entirety and replaced with the following;

Appendix E

Copyright Regulations

1. Ownership

- 1.1 Pursuant to 10.02 of the Agreement, a staff member who creates a Work resulting from or connected with the staff member's duties or employment owns copyright in the Work. However, the University owns or has an interest in Works as provided in 1.4 to 1.7 inclusive, 2.1 to 2.10 inclusive, 3.1, 5.1, and 5.2 of this Appendix.
- 1.2 For the purposes of this Appendix and Article 10 of the Agreement, "Work" or "Works" means anything in which copyright subsists pursuant to the *Copyright Act (Canada)*, whether published or unpublished. For greater certainty, Work includes: architectural works, artistic works, choreographic works, cinematographic works, collective works, dramatic works, literary works, musical works, compilations, performers' performances, sound recordings and communication signals, all as defined in the *Copyright Act (Canada)*.
- 1.3 A creator has moral rights in a Work, as provided under the *Copyright Act*. The Parties endorse and support the creator's right to manage those moral rights.
- 1.4 If a staff member creates a Work
- (a) in the course of performing administrative or management duties or activities for the University, a Department, or a Faculty, including all units therein associated (e.g., Centres and Institutes); or
 - (b) for the purposes of a committee or group of a Department, Faculty, or the University;
- then the University owns copyright in the Work.
- 1.5 If a staff member creates a Work pursuant to a written agreement between the staff member and the University, that agreement shall address the University's arrangement with the staff member regarding ownership or other interest in that Work.
- 1.6 If a staff member creates a Work under a sponsored research funding agreement with a third party funder, copyright ownership and licensing are governed by the terms of the sponsored research funding agreement. Because the University shall enter into the sponsored research funding agreement with the sponsor, the University has the right to obtain from the staff member an assignment or licence of the copyright as necessary to fulfill its obligations to the sponsor under the sponsored research funding agreement. However, the staff member cannot unilaterally assign or licence Works that are not wholly owned or created by that staff member.
- 1.7 If a staff member creates a Work under any other agreement between the University and a third party, including but not limited to a secondment agreement or facility access agreement, copyright ownership and licensing are governed by the terms of the agreement between the University and the third party. To avoid any need for the staff member personally to transfer or agree to transfer rights relating to the Work to the third party (which may entail the personal liability of the staff member), the University has the right to obtain from the staff

member an assignment or licence of the copyright as necessary to fulfill its obligations to the third party under the agreement. However, the staff member cannot unilaterally assign or licence Works that are not wholly owned or created by that staff member.

2 University Licence

General Principles

- 2.1 Subject to 2.2 to 2.10 inclusive, the University is and shall be entitled to an immediate, non-exclusive, royalty-free, non-transferable, irrevocable licence to use any Work created or produced by a staff member that results from or is connected with the staff member's duties or employment, for all purposes within the University's approved mandate pursuant to the *Post-Secondary Learning Act (Alberta)*.
- 2.2 The purposes referred to in 2.1 include, but are not be limited to, unit accreditation, unit or University marketing, and any not-for-profit activity.
- 2.3 The licence contemplated by 2.1 does not apply if, as a result of reasonable academic or pedagogical publishing practice, a staff member must assign copyright to a Work to a third party as a condition of publication. In such a case, the staff member shall make best efforts to cause the third party to provide a licence to the University in relation to the Work, such licence containing terms that are analogous to those described in 2.1.
- 2.4 The licence contemplated by 2.1 does not preclude a staff member from agreeing with the University to grant any additional licence or other rights in and to a Work to the University.
- 2.5 A staff member, reasonably believing that his or her Work is unsatisfactory for a proposed use due to outdated, incompleteness, negative impact on the professional reputation of the staff member, or other academic grounds, may amend the Work or require that its use be withheld.

Limited Exception – Works Created to Fulfill Assigned Course Responsibilities

- 2.6 Except in the cases described in 2.7 to 2.10 inclusive, the licence contemplated by 2.1 does not apply to any Work created by a staff member to fulfill assigned course responsibilities under Articles 8.01 and 8.03 of the Agreement.
- 2.7 The licence contemplated by 2.1 includes those elements of a course outline that set out the information required by General Faculties Council policy, as described in the University Calendar.
- 2.8 If a staff member is unable or unavailable to deliver all or part of a course duly assigned to that staff member, the University may use the Work described in 2.6 to complete the delivery of the course. Such a licence will not be irrevocable, but instead will be for the duration of the course in that academic year.
- 2.9 The University may use a Work described in 2.6 for the purposes of unit accreditation, in connection with transfer credit determinations or as the University may be required to meet its obligations to students.

- 2.10 If a staff member is assigned course responsibilities under Article 8.03 of the Agreement that entail the preparation of course materials for use in multiple courses or courses taught in multiple sections, the licence contemplated by 2.1 applies to those materials and it shall not be an interference in the creator's moral rights for the University to modify the course materials as required for the purpose of keeping them current.

3. Computer Programs and the University Patent Policy

- 3.1 In addition to this Appendix, the University Patent Policy shall apply to a computer program that is patentable intellectual property.

4. Conflict of Interest and Conflict of Commitment

- 4.1 The University has an interest in ensuring that Works created by its own staff members are not used to compete with or undermine the University's educational mission or activities. Therefore, a staff member's creation and use of Works in which the staff member owns copyright remain subject to the University's conflict of interest and conflict of commitment policies.

5. Collaborative Works

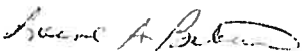
- 5.1 Works created collaboratively by students, staff, faculty and/or others present special challenges with regard to copyright. Such works may be owned in whole or in part by the University, or the University may have rights in and to those Works if they fall within one of the categories described in 1.4 to 1.7 inclusive, 2.1 to 2.10 inclusive, or 3.1 of this Appendix.
- 5.2 Subject to 1.4 to 1.7 inclusive, 2.1 to 2.10 inclusive, or 3.1 of this Appendix, if a Work is created by a staff member and one or more other individuals governed by University collective agreements, policies, and procedures, as between the University and that staff member and the individual or individuals, each person's rights and obligations relating to the Work shall be determined by the applicable University collective agreements, policies, and procedures. In the case of some collaborative Works, especially those involving members of different categories of persons within the University community, the parties involved may decide to assign copyright to the University in order to coordinate distribution, use, and (when appropriate) revenue sharing.
- 5.3 If a Work is created by a staff member and an individual or individuals who are not subject to University collective agreements, policies, and procedures, ownership of copyright will be decided in accordance with:
- (a) a written agreement between that staff member and that individual or those individuals;
 - (b) a written agreement between the University and another organization; or
 - (c) in the absence of an agreement contemplated by (a) or (b), in accordance with the general law, except that this Appendix will apply to any interest held by the staff member, with the necessary changes.

6. Guidelines

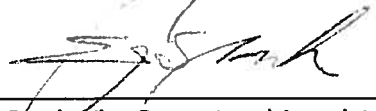
6.1 The University may publish guidelines, recommendations, and explanatory notes which shall not form part of this Appendix, to assist staff members and others to structure collaborations in ways that maximize certainty and minimize conflicts respecting interests in Works, and to assist in the application or use of this Appendix.

Signed this 26 day of FEBRUARY, 2016

On behalf of the Governors
of the University of Alberta:




Lorne Babiuk, Vice-President (Research)



Jay Spark, Vice-Provost and Associate
Vice-President (Human Resources)

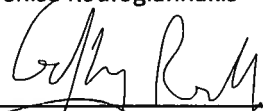
On behalf of the Association of the Academic
Staff of the University of Alberta:



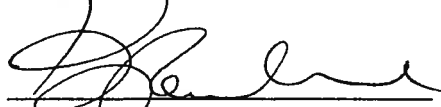
Heather Bruce, President



Denise Koufogiannakis



Geoffrey Rockwell



Brygeda Renke, Executive Director

Frequently Asked Questions Concerning the New Copyright Regulations

Please Note: These FAQs are for the information of academic staff members, and shall not be used by any party in any dispute over the interpretation of the Regulations.

1. What prompted the creation of the Agreement Review Committee (ARC) and the drafting of the new Copyright Regulations?

When the Association of Academic Staff negotiated the patent policy with the Board of Governors, it was recognized that the collective agreement provisions regarding copyright needed substantial revision. Under the Post-secondary Learning Act of Alberta, whatever rights staff have as individuals to their creative work is governed by the collective agreements between the AASUA and the Board. As was seen at the time of the patent review, the current language is quite opaque and in need of revision. Recognizing the need for change, the Board and AASUA agreed to form an “Agreement Review Committee” that would examine provisions of our collective agreements regarding copyright, and to review two aspects of intellectual property: copyright and the emerging issue of intellectual property that is not covered by patent or copyright practices. The membership of this ARC has changed over time, but both the Board and the AASUA are pleased to bring forward new Copyright Regulations.

2. Why did this process take so long?

Due to the membership of the ARC and various members going on sabbatical leave or unable to serve on the ARC due to their work responsibilities, it was difficult to schedule meetings. It also took time to deliberate on the issues and to write language that was agreeable to both sides.

3. What are the key principles underlying the new Copyright Regulations?

First, the idea was to replace confusing and out of date language in the academic staff collective agreements with language that would provide academic staff and the Board with clear guidance on the subject.

Second, the idea was to replace language asserting that the Board owns the copyright of staff works in Article 10 with language starting with the principle that staff own the copyright to their work, with some exceptions, discussed below.

Third, we wanted to add protections to ensure that the Board would have a license to use the work of staff to do its core business in certain circumstances.

Fourth, we settled on the principle benefiting both parties that in cases where the University needed ongoing access to copyrighted materials, a non-exclusive license would allow staff to do what they wanted with materials they created even if they leave the University, while still allowing the University to continue to use key materials for specific purposes.

4. If we didn't have a collective agreement, who would own copyright in works produced by academic staff in the course of their duties?

In the absence of provisions within a collective agreement, the Board of Governors – not academic staff - would own the copyright to Works that “result from” or “are connected with”, staff members’ duties or employment. Section 68 of the *Post-Secondary Learning Act* provides as follows:

68(1) Unless otherwise agreed to by the board, **the ownership of any invention, work, information or material, regardless of form, including any patent, copyright, technological or industrial design process or trademark acquired or produced by an officer of the post-secondary institution or an employee of the board that results from or is connected with the officer's or employee's duties or employment vests in the board** and may be made available to the public under conditions, on payment of fees or royalties or otherwise, as the board may determine.

(2) The board may compensate a person described in subsection (1).

(3) The board may enter into an agreement with a person to whom the board has provided or proposes to provide facilities, equipment or financial aid providing for the respective rights, obligations and liabilities of the board and the person with respect to the ownership of any invention, work, information or material, regardless of form, including any patent, copyright, technological or industrial design process or trademark acquired or produced by the person while engaged in a project funded in whole or in part by the board.

5. To what creative products do the Copyright Regulations apply? What counts as a “Work”?

For the purposes of the Copyright Regulations, a Work is any creative product respecting which copyright is recognized under the *Copyright Act*. Very generally, copyright applies to original literary, dramatic, musical or artistic works – regardless of format or technology of presentation (digital movies as much as handwritten plays). Copyright also applies (for example) to “performers’ performances,” which would include lectures.

The Regulations would also apply, for example, to online course products, such as “MOOCs”. Keep in mind, though, that these sorts of projects can be expensive and involve many parties. It would be very likely that intellectual property rights will be dealt with by the contract(s) that establish the project (see 1.5, 5). If a staff member chooses to enter into these sorts of contracts, the terms of the contracts shall govern copyright ownership.

The Copyright Regulations do not apply to creative products that are not governed by the *Copyright Act*, such as inventions that fall under the Patent Policy, industrial designs, or trademarks.

6. What are the main elements of the Copyright Regulations?

Basic rule – paragraph 1.1: a staff member who creates a Work resulting from or connected with the staff member’s duties or employment **owns copyright in the work, with some exceptions discussed below.**

At the same time, Works are licensed to the University – paragraph 2.1: the University is entitled to a licence (details about this below) to a Work referred to in paragraph 1.1, for all purposes within the University’s approved mandate under the PSLA.

Exceptions to the University’s licence are referred to in paragraphs 2.1 – 2.6: the licence does **not** apply to any Work created by a staff member “to fulfill assigned course responsibilities” (details about this below – the point: no paragraph 2.1 licence to teaching materials).

Despite those exceptions, and in specified circumstances, the University has limited rights to use even materials described in paragraphs 2.6 – 2.8, 2.9 (and paragraph 2.10 for some categories of Academic staff): e.g., if a staff member is unavailable or unable to deliver all or part of a course duly assigned to the staff member (the University’s rights will be only for the duration of the course for that academic year)

7. Are there any situations in which an academic staff member would not own copyright in a Work that he or she produced in connection with employment duties?

There are situations in which a staff member would not own copyright in a Work produced in connection with job responsibilities.

Under paragraph 1.4, a staff member would not have copyright in Work produced – generally – for administrative purposes. While 1.4 provides some context, guidance may also be provided by the “frequently asked questions” that will be prepared.

Paragraph 1.5 recognizes that a staff member may create a Work pursuant to a written agreement – he or she may be hired by the University to produce some creative product. Intellectual property rights respecting that creative product will be addressed in the agreement.

Paragraph 1.6 recognizes that some types of research funding have provisions respecting intellectual property ownership – a condition of receiving the funding is complying with the intellectual property aspects of the arrangement. It may be that under the terms of a funding arrangement, the funder is to hold copyright in works produced with the research funding. The University, as intermediary between the researcher and the funder, may “obtain from the staff member an assignment or licence of the copyright as necessary to fulfill [the University’s] obligations to the sponsor under the sponsored research funding agreement.”

Paragraph 1.7 recognizes that a staff member may – e.g., during a secondment – create Works pursuant to a contract between the University and a third party. In these cases, copyright ownership and licensing are governed by such agreements.

8. Do the Copyright Regulations recognize “moral rights”?

Yes. “Moral rights,” generally, are rights to claim authorship, to remain anonymous, or to use a pseudonym; the right of integrity (the right to resist distortion or modification of a work that is prejudicial to the honour or reputation of the creator); and the right of association (the right to resist the use of a work in association with a product, service, cause, or institution, if such use would be prejudicial to the honour or reputation of the creator).

Moral rights are recognized in paragraph 1.3.

Additionally, paragraph 2.5 describes an academic type of moral right: A staff member who reasonably believes that his or her Work is unsatisfactory for a proposed use because it is outdated, it is incomplete, its use would have a negative effect on the professional reputation of the staff member, or there are “other academic grounds” to oppose its use, “may amend the Work or require that its use be withheld. This right is an express limitation to the University’s paragraph 2.1 licence.

9. What is the nature of the University’s licence to use Works created by academic staff, referred to in paragraph 2.1?

The licence is

- (a) “immediate” – it comes into existence when the Work comes into existence; no (e.g.) written licence agreement is necessary;
- (b) “non-exclusive” – the staff member may grant licences to use the Work to others;
- (c) “royalty free” – the staff member is not paid royalties for the University’s use of the Work (this is because – the Work having been created in the course of employment duties – the University has supported its production financially);
- (d) “non-transferrable” – the University cannot transfer its licence to a third party (e.g. some sort of third party educational services provider); and
- (e) “irrevocable” – the staff member can’t unilaterally cancel the licence.

The licence is a right or permission to use the Work “for all purposes within the University’s approved mandate” under the PSLA. Paragraph 2.2 provides some examples of these purposes.

Paragraph 2.4 recognizes that a staff member may agree to grant additional licence rights to the University.

10. What if, as a condition of publication, a publisher requires the assignment of copyright from the creator?

Under paragraph 2.3, if a publisher requires the assignment of copyright to the publisher as a condition of publishing, then the staff member has no copyright to licence to the University. The paragraph 2.1 licence, then, does not arise. The staff member is required to make “best efforts” to have a licence analogous to the paragraph 2.1 licence extended to the University. Best efforts is assessed within the context of the situation. It requires doing that which is known to be usual, necessary and proper in attempting to secure the objective.

11. Are there any Works – besides those referred to in paragraph 2.3 – respecting which the University does not have a paragraph 2.1 licence?

Yes. Generally, paragraph 2.6 excludes teaching materials from the paragraph 2.1 licence, with certain exceptions (see question 13).

12. But are there any circumstances in which the University could have a licence even to teaching materials?

Yes, in defined circumstances:

(a) Under paragraph 2.7, the paragraph 2.1 licence extends to course outlines – but only concerning those elements of a course outline that set out information required by GFC Policy (that is, the paragraph 2.7 exception does **not** capture a full syllabus or course readings and topics).

(b) Under paragraph 2.8, if a staff member is unable or unavailable to deliver all or part of a course duly assigned to that staff member, the University may use that staff member’s teaching materials to complete the delivery of the course. This clause would apply, for example, if a staff member died, became ill, or quit – the University would be under an obligation to registered students to finish the course, and the staff member’s materials could be used to do so. The paragraph 2.8 licence is good for the duration of the academic year in question only. Note that it only applies if a course has been “duly assigned.” The University could not – for example – use an instructor’s materials to deliver a course without having first assigned that instructor to that course.

(c) Under paragraph 2.9, “[t]he University may use a Work described in paragraph 2.6 for the purposes of unit accreditation, in connection with transfer credit determinations or as the University may be required to meet its obligations to students.”

13. What does paragraph 3.1 – which deals with computer programs – mean?

Human generated computer code (software), which gives rise to computer programs, are copyright-protected. In some cases, however, the integration of software in inventions may be protected under patent rules. Hence, not only copyright but patent rules may apply “to software

that is patentable intellectual property.” If a computer program is not patentable it remains protected by copyright law only.

14. What if a staff member uses his or her copyright-protected works to provide educational services for a competitor University?

The Copyright Regulations deal with copyright ownership. Use of copyright protected materials is still subject to the collective agreements, University policies and procedures, and the general law. The point of paragraph 4.1 is that staff members’ use of copyright protected works is subject to the University’s conflict of commitment and conflict of interest policy.

15. What happens if a Work is created through the efforts of University personnel, (e.g.) a grad supervisor and a student, or an academic staff member and a non-academic staff member?

Paragraph 5.1 acknowledges that Works created collaboratively” present special challenges regarding copyright.” Paragraph 5.2 - if the creators are University personnel, the relevant provisions of policies, procedures and collective agreements (including the Copyright Regulations) will apply. Paragraph 5.3 - if a written agreement is in place with third parties, then that agreement will apply, or the general law in the absence of such an agreement. Given the challenges, potential collaborators should consider copyright ownership issues as soon as possible and consider entering a written agreement to deal with ownership issues before starting the collaboration.

16. How do the Copyright Regulations govern staff members’ intellectual property rights with third parties?

The Copyright Regulations govern the relationship between staff members as employees, and the Board as their employer, under the collective agreements. Ownership of Works created by staff with or for publishers, external collaborators, funders, and (e.g.) the Tri-Council is determined by a combination of the terms of the Copyright Regulations and the terms of the agreements with those third parties (see paragraphs 1.6, 1.7 and 5.3).

It is important to note that copyright law is not the only area of law that applies to copyrighted Works. For example, the law of defamation) also applies to uses of copyrighted Works.

17. Who do I contact if I have questions about my rights in a copyrighted work?

The AASUA should be your first point of contact, and is available to assist its members in discussions with University representatives on questions which may arise relating to rights to a copyrighted work.

18. Why is paragraph 2.10 included in the CAS:T, SOTS and TRAS agreements only?

It was recognized that in certain circumstances the University needs to be able to assign to these categories of staff members the creation of “multi-course” or “multi-section” materials, with the

University obtaining a license to use such materials in the future. The more temporary nature of appointments under these agreements means the University needs to ensure it has the right to continue to use such materials past the end date of a staff member's appointment.

19. Why does the CAS:T agreement make reference to the length of the license back to the University?

Since CAS:T representatives on AASUA Council felt that limiting the duration that the University could use their material for continuing teaching was important, the University agreed to their request to limit the length of the license to three years.

5 March 2016

OUTLINE OF ISSUE

Agenda Title: **Proposal to Establish a Department of Critical Care Medicine and the Concurrent Termination of the Division of Critical Care Medicine, Faculty of Medicine and Dentistry**

Motion: THAT the Board of Governors, on the recommendation of the Board Learning and Discovery Committee and General Faculties Council, approve the establishment of a Department of Critical Care Medicine, as submitted by the Faculty of Medicine and Dentistry and as set forth in Attachment 1, and the concurrent termination of the Division of Critical Care Medicine, to take effect July 1, 2016.

Item

Action Requested	<input checked="" type="checkbox"/> Approval <input type="checkbox"/> Recommendation <input type="checkbox"/> Discussion/Advice <input type="checkbox"/> Information
Proposed by	Richard Fedorak, Interim Dean, Faculty of Medicine and Dentistry
Presenter	Steven Dew, Provost and Vice-President (Academic)
Subject	Proposed Establishment of a Department of Critical Care Medicine

Details

Responsibility	Provost and Vice-President (Academic)
The Purpose of the Proposal is (please be specific)	To transform the existing free standing Division of Critical Care Medicine into a Department of Critical Care Medicine. The Division currently operates much like a Department, with a director who sits on the Faculty Evaluation Committee (for evaluation of its own members) and on the Faculty's Chairs Committee. The Division has the responsibility for managing its own budget and teaching plan. We also recommend the current division director become chair of the department.
The Impact of the Proposal is	To strengthen the academic mission of the FOMD by removing organizational barriers to the further development of the academic critical care medicine. A resource-neutral move that both formalizes the <i>status quo</i> and allows the unit to respond to scholarly developments in the academic field. It will also enhance recruitment and retention to compete against other Departments of Critical Care in the country. It will also create effective governance structures without requiring additional costs.
Replaces/Revises (eg, policies, resolutions)	The department will replace the free standing Division of Critical Care Medicine.
Timeline/Implementation Date	July 1, 2016
Estimated Cost	Cost neutral
Sources of Funding	N/A
Notes	When this matter was considered by the GFC Academic Planning Committee, the committee requested that further details on library impact, organizational structure and budget be included for the consideration of General Faculties Council.

Alignment/Compliance

Alignment with Guiding Documents	Institutional values (2015 Comprehensive Institutional Plan) "Our values: The U of A community of students, faculty, staff, and alumni rely on shared, deeply held values that guide behaviour and actions. These values are drawn from the principles on which the University of Alberta was founded in 1908 and reflect a dynamic, modern institution of higher learning, leading change nationally and internationally. Excellence: Excellence in teaching that promotes learning; outstanding
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	<p>research and creative activity that fuel discovery and advance knowledge; and enlightened service that builds citizenship.</p> <p>Student Experience: The centrality of our students and our responsibility to provide an intellectually superior educational environment.</p>
<p>Compliance with Legislation, Policy and/or Procedure Relevant to the Proposal (please <u>quote</u> legislation and include identifying section numbers)</p>	<p>1. Post-Secondary Learning Act (PSLA): The <i>PSLA</i> gives GFC responsibility, subject to the authority of the Board of Governors, over academic affairs (Section 26(1)). Section 26(1)(o) provides that GFC may make recommendations to the Board of Governors on a number of matters including the budget and academic planning; Section 26(1)(l) provides that GFC may make recommendations to the Board of Governors on the establishment of Faculties, Schools, Departments, Chairs, and programs of study in the University in any subject that GFC thinks fits.</p> <p>2. GFC Academic Planning Committee (APC) Terms of Reference/3. Mandate of the Committee:</p> <p>“APC is responsible for making recommendations to GFC and/or to the Board of Governors concerning policy matters and action matters with respect to the following: [...]”</p> <p>2. Units</p> <p>a. Subject to Article 32 of the Faculty Agreement, to recommend to GFC on the establishment and termination of Faculties, Departments, Schools and divisions, and on mergers involving Faculties, Departments or Schools. (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.)”</p> <p>3. Board Learning and Discovery Committee (BLDC) Terms of Reference:</p> <p>“3. MANDATE OF THE COMMITTEE</p> <p>Except as provided in paragraph 4 hereof and in the Board’s General Committee Terms of Reference, the Committee shall, in accordance with the Committee’s responsibilities with powers granted under the <i>Post-Secondary Learning Act</i>, monitor, evaluate, advise and make decisions on behalf of the Board with respect to matters concerning the teaching and research affairs of the University, including proposals coming from the administration and from General Faculties Council (the “GFC”), and shall consider future educational expectations and challenges to be faced by the University. The Committee shall also include any other matter delegated to the Committee by the Board.</p> <p>Without limiting the generality of the foregoing the Committee shall: [...]</p> <p>l. review proposals and recommendations of GFC concerning the establishment, continuation and re-organization of faculties, schools, departments and make recommendations to the Board in respect thereof[.] [...]</p>

Item No. 3fi

	<p>4. LIMITATIONS ON DELEGATION BY THE BOARD</p> <p>This general delegation of authority by the Board to the Committee shall be limited as set out in this paragraph. Notwithstanding the general delegation of authority to the Committee as set out in paragraph 3, the Board shall make all decisions with respect to:</p> <p>a. the establishment, continuation, reorganization or abolition of faculties, schools and departments”</p>
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Routing (Include meeting dates)

<p>Participation: (parties who have seen the proposal and in what capacity)</p> <ul style="list-style-type: none"> • Those who have been informed • Those who have been consulted • Those who are actively participating 	<p>Chairs Committee, Faculty of Medicine and Dentistry, October 14, 2015 (For Consultation) Brygeda Renke , AASUA , January 25, 2016 (For Consultation)</p>
<p>Approval Route (Governance) (including meeting dates)</p>	<p>Faculty Council Medicine and Dentistry - November 17, 2015 GFC Academic Planning Committee - March 23, 2016 GFC Executive Committee – April 11, 2016 General Faculties Council - May 30, 2016 Board Learning and Discovery Committee - June 2, 2016 Board of Governors – June 17, 2016</p>
<p>Final Approver</p>	<p>Board of Governors</p>

Attachments:

1. Briefing Note Academic Department of Critical Care (29 pages)
2. Chairs Presentation Critical Care Medicine (slides 1 – 21) (4 pages)
3. Recommendation of the Interim Dean, Dr. Richard Fedorak (3 pages)
4. DCCM Transition Brief Executive Summary (2 pages)
5. Letter of Support from Dr. Shelley Duggan (1 page)
6. Letter of Support from Dr. Jonathan Davidow (1 page)
7. Letter of Support from Dr. Michael Murphy (2 pages)
8. Library Impact Statement (2 pages)
9. DCCM Organizational Structure (1 page)
10. DCCM Budget Projections 2016-17 (1 page)

Prepared by: Dr. Richard Fedorak, Interim Dean, richard.fedorak@ualberta.ca
with assistance from Valerie Gaul, Executive Assistant to Dr. Fedorak,
valerie.gaul@ualberta.ca

Attachment 1



Briefing Note

Title: Proposal for the establishment of an Academic Department of Critical Care Medicine in the Faculty of Medicine and Dentistry

Date: May 26, 2015

Version: 3.0

Prepared for: Richard N Fedorak, MD, FRCPC, FRCP (London), FRSC
Interim Dean, Faculty of Medicine and Dentistry, University of Alberta

Prepared by: David Zygun
Noel Gibney

Executive Summary

Goals

To strengthen the academic mission of the FoMD by removing organizational barriers to the further development of the academic critical care medicine.

Ensure the FoMD at the University of Alberta is competitive nationally and internationally in the field of academic critical care medicine by removing barriers to academic recruitment.

Acknowledge the progression of and increasing importance of academic critical care medicine as a distinct specialty within the health care system and align with organizational structure of health services organization such as Alberta Health Services who are, and will remain, major funders of academic critical care medicine.

To remove discrepancies in representation for both primary and secondarily appointed critical care medicine Faculty in important FoMD processes and committees such as FEC.

Background Critical Care Medicine is a rapidly developing and expanding discipline, which impacts almost every other area of healthcare. Critical Care Medicine now embodies a unique body of knowledge of the epidemiology, assessment, treatment and outcomes of critical illness and multiple organ failure and represents a significant and growing component of the provision and cost of hospitalized medicine.

The Division of Critical Care Medicine (DCCM) is one of the largest integrated academic and clinical units in Canada with 50 members, of whom 36 have their primary academic appointment in the DCCM (see appendix 1). The other 14 with primary appointments in other parent disciplines are valued members who provide full clinical and academic support to Critical Care. The DCCM has 7 primarily appointed GFT/Special Continuing Status (SCS) Faculty members and 6 GFT members secondarily appointed to Critical Care (individuals are not primarily appointed to critical care due to various financial and clinical issues). With these 13 members, the DCCM is larger than 7 Departments in the FoMD based on data provided in 2014. The Division was successful in recruiting 2 additional special continuing status Faculty this year to join the FoMD in 2015 and 2016. Further, two internal clinical academic colleagues have been recruited to become SCS Faculty members. Finally, the Division has a translational anaesthesiology based Intensivist researcher entering the Clinical Investigator Program and will join Faculty in 2018. This will mean the proposed Academic Department will have 16 members by 2018. The DCCM expects retirement of two clinical academic colleague (CAC) members by 2018. With Departmental status, these positions will be dedicated to academic Faculty. As such, there is potential for 18 GFT/SCS members by 2018.

Research activity within the DCCM has shown remarkable growth in the last 3 years. During this period, up to 2007, the majority of research within the DCCM was performed by the extensive effort of two Faculty members. Since 2007, recruitment of clinician scientists has led to substantial increases in academic productivity with close to 100 publications per year and over a \$1.4 annual grant funding. Academic Intensivists

have supported the growth of our educational program with extensive teaching efforts and financial support. The development of international research and clinical fellowships will further enhance the reputation of the FoMD externally.

Conclusions The transition of the current stand-alone Division of Critical Care Medicine to academic Department within FoMD will align the University of Alberta with progression of the academic specialty nationally and internationally, remove barriers to recruitment, remove internal discrepancies for Faculty appointed to critical care medicine, and facilitate the academic mission of the FoMD at the University of Alberta.

Purpose

The purpose of the transition of the Division of Critical Care Medicine to an Academic Department is four fold:

1. Strengthen the academic mission of the FoMD by removing organizational barriers to the further development of the academic critical care medicine
2. Ensure the FoMD at the University of Alberta is competitive nationally and internationally in the field of academic critical care medicine by removing barriers to academic recruitment
3. Acknowledge the progression of and increasing importance of academic critical care medicine as a distinct specialty within the health care system and align with organizational structure of health services organization such as Alberta Health Services who are, and will remain, major funders of academic critical care medicine
4. To remove discrepancies in representation for both primary and secondarily appointed critical care medicine Faculty in important FoMD processes and committees such as FEC

Background

History of Critical Care Medicine

The first post-operative neurosurgery recovery room was created at Johns Hopkins Hospital in the 1920's. During World War II, shock wards were established to resuscitate and care for soldiers injured in battle or undergoing surgery. Critical Care Medicine with the application of life support technology evolved from the response to a poliomyelitis epidemic in Copenhagen 60 years ago where the concept of positive pressure mechanical ventilation was developed and shown to improve patient survival. This demonstrated the potential to employ specialized skills originally developed by anaesthetists to support patients in the operating room, to provide life-sustaining support for patients with respiratory failure. Subsequently, cardiology demonstrated the value of coronary care units to improve the care of patients following acute myocardial infarction. The fledgling specialty of Critical Care Medicine grasped and integrated the rapidly developing technologies of patient monitoring and life support to improve the care of critically ill patients with multiple organ failure from a myriad of causes, while the dedicated intensivist, rather than multiple consulting specialists, coordinated patient care.

Unique Body of Knowledge

Critical Care Medicine now embodies a unique body of knowledge of the epidemiology, assessment, treatment and outcomes of critical illness and multiple organ failure. Premier international medical journals such as the New England Journal of Medicine, Journal of the American Medical Association (JAMA), The Lancet and the British Medical Journal maintain separate collections of articles dedicated to the care of the critically ill patient. There is now a significant number of international and national subspecialty journals entirely devoted to Critical Care Medicine, including some on more specialized

aspects of Critical Care Medicine, including neurocritical care, cardiovascular critical care, respiratory critical care, trauma and burn critical care, pediatric critical care, and critical care nursing. Critical Care Medicine long since evolved from a subspecialty of anesthesia concerned primarily with external means of ventilation to a distinct area of expertise, which through advances and innovation in research, has generated a unique body of knowledge focused on advanced life support technologies related to the support and treatment of critically ill patients characterized by multiple organ dysfunction and failure. There is ongoing work in the areas of advanced monitoring, clinical engineering, and translational medicine including work with biomarkers, genomics and metabolomics to enable us to better understand and treat a broad spectrum of critical illnesses in the future. Critical Care Medicine is a leader in the field of severe infectious disease and pandemic response.

Critical Care Medicine in Canada and at the University of Alberta

The first multisystem critical care units in Canada were developed in the late 1960's in Toronto, Edmonton and Winnipeg. A fellowship program in Critical Care Medicine developed in Edmonton by Dr. E.G. King in 1970, was one of the first of its kind and trained physicians from Canada and beyond, many of whom went on to develop critical care programs elsewhere in this country and around the world. Initially, Critical Care Medicine resided within Dr. King's academic home, the Division of Pulmonary Medicine. However, over time, it became clear that Critical Care Medicine had practitioners who had varied backgrounds in Anesthesia, Surgery, Emergency Medicine and other medical specialties.

In 1985, the Division of Critical Care Medicine was established under Dr. King as an Interdepartmental Division of the Faculty with the Divisional Director reporting jointly to the Dean and the Chairs of Medicine, Surgery and Anesthesia and attended with the chairs at the monthly meetings of the Dean with the Chairs. In 1987, Dr. Tom Noseworthy succeeded Dr. King as DCCM director and was followed by Dr. Richard Johnston in 1991.

In the mid 1980s, Dr. King and Dr. Tom Noseworthy were instrumental in the development of the Critical Care Medicine training programs of the Royal College of Physicians and Surgeons of Canada (RCPSC). In 1989, the University of Alberta Critical Care Residency Program was one of the first to be accredited by the Royal College of Physicians and Surgeons of Canada under its certification without examination program. Dr. Dat Chin has been a member of the Critical Care Medicine Nucleus Committee for many years and has had significant influence in the evolution of the specialty at the College. In 2006 the Royal College of Physicians and Surgeons of Canada commenced examination for FRCP(C) certification in Critical Care Medicine.

In 1995, following the regionalization of healthcare in Alberta, Capital Health included Critical Care as one of its Clinical Departments, allowing the Regional Program Clinical Director to control intensivist credentialing and provision of clinical privileges. Up to that point in time, credentialing had been the responsibility of the Chairs of Medicine, Surgery and Anesthesia. In 2000, the Regional Program Clinical Director for Critical Care,

Dr. Noel Gibney, was appointed as acting Divisional Director and subsequently, in 2002 was appointed as Divisional Director. This allowed the academic Division and the clinical Department to merge their vision, mission and goals. At this time, it was agreed within the Faculty of Medicine and Dentistry that it should be possible for faculty members to hold a primary appointment in the DCCM and secondary appointments, if desired, in other departments. This was important for intensivists to receive full credit for academic activities in critical care, which, prior to that time, were not always perceived to be fully valued by the traditional base specialties. The ability of academic intensivists to practice and function fully within the DCCM has been a major advance and has significantly facilitated the development of an active research program within the Division.

In 2012, Alberta Health Services created Strategic Clinical Networks (SCNs). Aligned with the Departmental structure of the health care system, critical care was one of the initial specialties to be recognized with network foundation. The goals of the SCNs include: to build a community of research support for the SCN from bench to bedside to community and back again, to establish and facilitate a provincial research network that attracts external funding and is doing research projects of relevance to the SCN, establish the process that ensures the right research is being conducted in a timely manner (sets research priorities and attracts adequate financial and infrastructure support to achieve those priorities with partners) and to collaborate with the AHN and other academic partners to identify interested researchers and link them to appropriate front-line teams to embed research and knowledge translation within the health care system. Major health services research competitions have been created for SCNs by Alberta Innovates: Health Solutions who is supported by Alberta Health to address the needs of Albertans within the health care system. These grants are only available within the network structure and are known as Partnerships for Research and Innovation in the Health System (PRIHS). Critical care investigators have been highly successful in the first two competitions.

Critical Care Medicine in Edmonton

The sickest and most unstable patients are cared for in our critical care units where highly trained inter-disciplinary teams and advanced life support technology and monitoring equipment are centralized. In addition to this premise, the traditional notion of caring for the critically ill patient within a dedicated location in the hospital has evolved and now integrated the concept of an “ICU without walls” where necessary expertise and support is taken to patients developing critical illness and at-risk for adverse outcomes. Consequently, outreach services are now recognized as a vital component of Critical Care.

Critical Care Units fulfill a number of vital functions within hospitals:

- Life-support of the devastatingly ill patient who would likely die without such care.

- Post-operative life-support of otherwise stable patients after major surgical procedures such as solid organ transplantation, major cancer resections, neurosurgical procedures and complex cardiac and vascular procedures.
- Peri-operative support of the previously ill patient after surgery.
- End-of-life management of the patient originally admitted with potentially reversible illness whose illness is now clearly fatal.
- Outreach services to seriously ill patients on all medical/surgical units and to distant health regions and hospitals via using teleconference and videoconference technology.

The General Systems Intensive Care Units (GSICUs) fulfill these roles for critically ill patients with overwhelming multisystem illnesses from a variety of causes including severe sepsis and septic shock, pneumonia, multiple trauma, catastrophic surgical illness and severe metabolic derangement caused by renal and liver failure. Management of these patients requires highly skilled team members using sophisticated physiological monitoring systems as well as various means of life support techniques including mechanical ventilation, renal replacement therapy, infusion of potent vasoactive medications for hemodynamic support and active cooling and rewarming techniques. The GSICUs provide these critical care services 24 hours/day, 365 days/year.

Critical Care units are becoming an increasing component of hospitalized care. A 2010 study demonstrated the need for intensive care continues to increase. Over 5 years in the US there has been a 4% decrease in the total number of hospital beds but an increase in ICU beds by 7%. Hospital non-ICU inpatient days increased by 5% while ICU inpatient days increased by 10%. Importantly, annual critical care medicine costs increased by 44%. (*Crit Care Med* 2010, **38**:65-71). It is expected. The ratio of ICU beds to hospital beds will continue to rise.

Critical Care in the Edmonton Zone incorporates the General Systems Intensive Care Units (GSICUs) at the Grey Nuns, Misericordia, Sturgeon, Royal Alexandra and University Hospitals which includes the critical care component of the Firefighters Burn Treatment Unit at UAH. These ICUs provide critical care to patients from Edmonton and region, Northern Alberta, Northeastern B.C. Northwest Territories and Western Nunavut. In addition, patients with hepatic failure requiring liver transplantation are referred from all over Alberta, Northeastern British Columbia, Saskatchewan and Manitoba. Over one third of patients are from outside the Edmonton Zone.

The Firefighters Burn Treatment Unit provides care to patients with severe thermal injuries from Northern Alberta, Northeastern B.C. Northwest Territories and Western Nunavut. Its mandate also includes the provision of care for patients with major soft tissue injuries, including those related to trauma and infection, as well as those undergoing major head and neck cancer resections involving microvascular reconstruction. It is progressively being recognized as the Prairie Province referral centre for patients with major burns and soft tissue injury.

The Neurosciences ICU at UAH, is jointly managed in partnership between Critical Care and Neurosciences. Members of the DCCM are the most responsible providers for all patients in the Neurosciences ICU. It provides care to patients with severe neurological injury from trauma and stroke. It also provides advanced life-support to patients who require sophisticated neurological monitoring and critical care following major neurosurgical procedures.

The Cardiovascular ICU (CVICU) at the Mazankowski Alberta Heart Institute is jointly managed by Cardiac Sciences and Critical Care. Intensivists in the CVICU have special interest and skills in the care of critically ill patients following complex cardiac surgery and those receiving extracorporeal membrane oxygenation heart and lung transplantation and ventricular assist devices.

Intensivists provide care in the following critical care units

Hospital	Unit	Beds
Grey Nuns Community Hospital	Intensive Care Unit	8
Misericordia Community Hospital	Intensive Care Unit	6 (+4HIU)
Royal Alexandra Hospital	Intensive Care Unit	25
Sturgeon Community Hospital	Intensive Care Unit	5 (+3HIU)
Mazankowski Alberta Heart Institute	Cardiovascular Intensive Care Unit	24
University of Alberta Hospital	Burn Unit (ICU component)	4
University of Alberta Hospital	Neurosciences Intensive Care Unit	10
University of Alberta Hospital	General Systems Intensive Care Unit	28

Overall, the GSICUs, Burn ICU, and Neurosciences ICU provide over 30,000 patient days of care to approximately 4900 patients each year, while the CVICU provides over 7500 patient days of care to approximately 1600 patients yearly.

Service Demographics of Edmonton Zone GSICUs (2014/15)

Unit	Funded Beds	Admissions	Patient days	APACHE II score	ICU Mortality	Mechanically ventilated in first 24 hrs
RAH ICU	25	1382	8061	20.5	12.4%	66.6%

UAH ICU	28	1424	9207	21.3	15.3%	59.0%
GNCH ICU	8	393	1922	21.3	13.0%	61.6%
MCH ICU	6 (+4HIU)	362	2285	21.6	15.7%	70.3%
SCH ICU	5 (+3HIU)	316	2146	20.0	10.8%	53.7%
Total	72	3877	23621			

February 1, 2014 – January 31, 2015

Collaboration with pediatric ICU

There is significant academic and clinical collaboration between Adult Critical Care Medicine and the Pediatric Intensive Care Unit at Stollery Children’s Hospital. Academic Grand Rounds include presenters from the pediatric academic program. Trainee Research Day is shared with the adult ICU, PICU and Neonatal ICU residents/fellows. There are a number of joint seminars for residents and fellows held on issues of common interest, including ethics and disclosure of adverse events. During the Influenza A H1N1 pandemic in 2009, the expertise of the PICU in collaboration was used to develop an adult provincial ECMO program to support critically ill adults with severe viral pneumonia. Critical Care played an integral and lead role for preparations for SARS and Ebola and represents the hospital response for both adults and children.

Donation and Transplantation

Critical Care plays a vital role in the recognition of potential donors for organ transplantation and in the management of critically ill patients prior to and following major organ transplant procedures. Because of the potential for conflict of interest, great care is taken to ensure that intensivists involved in the recognition of potential donors are not involved in the subsequent management of patients who have received organ transplants. Dr. Jim Kutsogiannis has made major contributions to the donation process as chair of the HOPE Advisory Committee and also as the individual who has led the Donation Following Cardiac Death process locally.

eCritical Clinical Information System

Alberta Health Services, including the clinical Department of Critical Care Medicine, Edmonton Zone and the Critical Care Strategic Clinical Network has implemented eCritical, the most comprehensive, multimodal and integrated data repository of patient-specific critical care clinical information in the nation, which will present real-time information in an intuitive fashion for optimal and timely patient-specific decision making, while also enabling the creation of timely unit, zonal and provincial reports for administrative, quality improvement, education and research purposes. The eCritical TRACER data warehouse represents the most in-depth source of patient critical care

data in the world and will strongly support the health services research, translational research and academic quality agenda of the Academic Department. This data warehouse is population based and by the end of 2015 encompass ALL adult patients admitted to a critical care bed in the entire province.

RAAPID North

RAAPID North and South provide coordination of all patient transports, especially critical care transports within and into Alberta. Critical Care Medicine has worked with RAAPID North to develop algorithms for patient transport from centres in Northern Alberta and other provinces to the ICUs.

STARS

Critical Care Medicine has significant involvement with the Shock Trauma Air Rescue Society (STARS). This agency provides mobile critical care using rotary air transport. STARS transports critically ill trauma victims directly from the scene of their injury as well as critically ill patients from hospitals within range of their helicopters. Dr. Gibney was a member of the board of directors of STARS until June 2011. Currently 4 intensivists (Drs. Brindley, Davidow, Hudson and Suen) fly as flight physicians. Dr. Darren Hudson is now the associate medical director responsible for critical care provision. This will facilitate the education of providers and research into critical care transport medicine. This relationship has enabled us to provide education and electives in transport medicine to our trainees.

DCCM Faculty Members

The DCCM has 50 members, of whom 36 have their primary academic appointment in the DCCM (see appendix 1). The other 14 with primary appointments in other parent disciplines are valued members who provide full clinical and academic support to Critical Care and, in addition, serve as “ambassadors” between Critical Care and their other disciplines. The DCCM is larger, in terms of members and Faculty, than the two current academic Departments of Critical Care Medicine (Calgary and Dalhousie).

The DCCM has 7 primarily appointed Faculty members (5 GFT and 2 special continuing appointments). These individuals are Dr. Sean Bagshaw, Dr. Peter Brindley, Dr. Dat Chin, Dr. Noel Gibney, Dr. Jim Kutsogiannis, Dr. Sean van Diepen, and Dr. David Zygun. In addition, the Division has six GFT members secondarily appointed to Critical Care. These members’ academic programs are focused on the critical care aspects of their specialties (individuals are not primarily appointed to Critical Care due to various financial and clinical issues). These individuals include: Dr. Dean Karvellas, an Intensivist/hepatologist with a special interest in the management of acute hepatic failure, intracranial pressure management in acute hepatic failure and hepatic transplantation; Dr. Rachel Khadaroo, a surgical intensivist with a basic science laboratory and translational research program focused on critically ill surgical patients; Dr. Ronald Brisebois, a surgical intensivist with a major surgical administrative role, traumatologist and liaison to the Canadian military; Dr. Sandy Widder, a surgical intensivist and trauma director whose academic program includes health services delivery, quality, acute surgery and trauma; Dr. Lawrence Cheung, an educator and program director for Respiriology who performs all his clinical service within Critical Care, and Dr. Ted Tredget, an international renown burn specialist with an academic program in all aspects of burn care.

With these 13 members, the DCCM is larger than 7 Departments in the FoMD based on data provided in 2014. Importantly, the Division is growing. Without funding from the FoMD or University, the Division was successful in recruiting 2 additional special continuing status Faculty this year. They will join the FoMD in 2015 and 2016. Further, at the suggestion of the Vice Dean, Faculty affairs with the previous Dean’s agreement as a mechanism of growing Faculty, two clinical academic colleagues with academic credentials to warrant (special continuing) Faculty status have agreed to become Faculty members at the Associate Professor level. Finally, the Division has a translational anesthesiology based Intensivist researcher entering the Clinical Investigator Program and will join Faculty in 2018. This will mean the proposed Academic Department will have 16 members by 2018. The Division expects retirement of two CAC members by 2018. With Departmental status, these positions will be dedicated to academic Faculty. As such, there is potential for 18 members by 2018.

DCCM Academic leadership

Position	Name
Director	Dr. David Zygun
Residency Training Program Director	Dr. Wendy Sligl
Research Director	Dr. Sean Bagshaw
Junior resident rotation coordinator RAH	Dr. Darren Markland
Junior resident rotation coordinator UAH	Dr. Adam Romanovsky

Education

Residency Training Program

The Division of Critical Care Medicine at the University of Alberta operates an Adult Critical Care Medicine training program. This program was recently internally surveyed in preparation of the external review by the Royal College of Physicians and Surgeons of Canada. It is two years in duration and is currently training six residents that have already completed primary specialty training in another program. In addition, the training program is also responsible for providing Critical Care exposure of two to three months duration to approximately 125 residents from the Department of Surgery, Medicine and its subspecialties, Emergency Medicine, Anesthesia, Neurosciences, Cardiovascular Surgery, Obstetrics and Gynecology and Family Medicine. Training currently occurs at either at the University of Alberta Hospital or the Royal Alexandra Hospital. Graduates from our training program are well qualified to work in any Critical Care environment and are sought after both regionally and nationally. Because of demographic shifts, the need for specialty trained critical care physicians is expected to grow over the next 10 years.

Since its inception, the Adult Critical Care residency training program has an educational philosophy that emphasizes clinical competence and excellence. It is centered on a core of 12 months of critical care training divided between both hospital sites and 12 months of relevant electives. These rotations give the resident a broad range of exposures to nearly the entire spectrum critical illnesses in adults.

Research and research methodologies are also an important and mandatory aspect of the resident's training. Each resident is expected to complete a research project as part of their training and present it at both our annual Resident Research Day and at national or international conferences. This has helped to facilitate many publications from our trainees. Dr. Sean Bagshaw, Dr. Jim Kutsogiannis, Dr. Michael Jacka, and Dr. David Zygun have mentored and supported residents and fellows research activities.

In addition to clinical exposure, the Division provides and all of our residents participate in a weekly academic half-day. This is a mandatory component of their training and all residents are relieved of their clinical responsibilities regardless of their rotation. The half-day starts with a basic and clinical physiology seminar series, then a didactic session on fundamentals of Critical Care Medicine including research, biomedical ethics, medical-legal aspects of medicine, and communication. This is followed by resident driven seminars on specific topics in Critical Care Medicine based on the objectives of training. The Faculty also provides a quarterly "boot camp" to prepare incoming rotating residents for their upcoming ICU rotation and daily didactic teaching sessions for rotating residents at the UAH site.

Residency Training Committee

The Residency Program Committee (RPC) approves the terms of reference for the Program Director and the Critical Care Residency Training Committee. The Program Director chairs the RPC, oversees the Divisional Educational program and reports to the

DCCM Divisional Director and Postgraduate Medical Education Associate Dean. The Program Director, with the assistance from the committee, plans, organizes and supervises the program.

The Program Director and RPC are responsible for the development and operation of the program according to the RCPSC general standards of accreditation and the specific standard of accreditation and specialty training requirements for residency programs in adult Critical Care Medicine. The RPC is also responsible for the selection, evaluation and promotion of the resident as well as receiving and reviewing resident appeals. It provides career planning, mentoring and counseling and assists with problems related to stress. The RPC also reviews the program on a regular basis including its educational components, resources and facilities. In addition, the RPC continuously reviews the teaching in the program, including the basic and clinical sciences, within the CanMEDS competencies using the assessment of teaching staff and the feedback of the trainees.

Drs. Clint Torok-Both, Wendy Sligl and Dat Chin are responsible for the creation and administration of the written and oral examinations. They also assist the program director in preparing and reviewing the various in-training evaluations including: weekly evaluations, 360 degree evaluations, crisis resource management evaluations, family communication checklist, telephone consultation evaluations, grand round evaluations, and patient presentation evaluations. Dr. Sean Bagshaw is responsible for assisting the program director in guiding the residents in their mandatory research requirement and act as a resource for the residents. Drs. Derek Townsend, and Peter Brindley are responsible for ICU grand rounds, and medical simulation events.

Several members of the division have close associations with community ICUs, other Canadian centres and several international programs (including Australia, the U.K and the Middle East). As such, our trainees have many opportunities for diverse clinical electives and exchanges. Regular journal clubs enable development of critical appraisal skills, and opportunities to teach enable our trainees to develop their skills as educators.

While the majority of our residents have originally completed training in one of the more traditional disciplines of Pulmonary Medicine, Anesthesia and General Surgery, we are increasingly seeing residents with backgrounds in other areas such as Emergency Medicine, Nephrology, Cardiology, Neurology and Otolaryngology commencing critical care residency training. Over the last decade we have trained a number of international fellows, primarily from Saudi Arabia.

As a result of the high quality research produced in the division, the training program is receiving research fellowship applications from high quality international applicants. The DCCM is supporting research fellowships for national and international trainees. These trainees have originated from Ontario and South America with one trainee completing his MSc (Epidemiology). One of the challenges facing the program is finding non-

Ministry of Health funding to support these trainees, which will further enhance our international reputation



Medical Simulation

Research has increasingly shown that most adverse patient outcomes and medical errors involve suboptimal communication, teamwork, and crisis management. Furthermore these factors are poorly addressed by traditional education. However, they are ideally suited to Medical Simulation. Over the last five years, Simulation has become a regular feature of training and ongoing quality assurance in our ICUs. Trainees now receive regular and mandatory simulation exposure followed by structured debriefing and feedback based upon validated scoring systems (some of which were developed by our faculty members). For a number of years Dr. Peter Brindley was the Medical lead for Patient Simulation for Capital Health and an advisor on simulation to the Canadian Patient Safety Institute and the Royal College of Physicians and Surgeons of Canada. The University of Alberta and the Alberta Health Services became national leaders in acute care simulation. The regional simulation program has grown enormously over five years and now provides several thousand hours of annual simulation-based education. This has included resident physicians in Critical Care Medicine, Emergency Medicine, General Surgery, Ophthalmology, Neurosurgery and Psychiatry and others. Importantly, however, it has also included Critical Care Nursing Recruits, Trauma Nurses, General Ward Nurses, Critical Care Nurses, Respiratory Therapists and the Rapid Response Team. We have also delivered courses throughout the province (including Grande Prairie, Red Deer, Calgary and Peace River) and hosted a national simulation conference. We have also contributed to a number of peer reviewed simulation publications, national and international presentations, and several large grants for the development and delivery of simulation education.

Resident Career Planning

The career goals and objectives of the resident are identified early, e.g. a career goal as a clinician or academic. The content of the two year training period is reviewed, especially the elective rotations and the need for additional training in specific areas. Once accepted into the program the resident's training is tailored according to their career plans. The following are considered: their primary specialty, prior experience, career plans and need to obtain certification in a primary specialty.

There are multiple opportunities to provide career guidance. Career planning is a standing item on the semi-annual review with the residents. The current and prospective employment market is discussed. Specific advice about search strategies and techniques for ensuring a successful job application are outlined. The Program Director also forwards any advertised opportunities throughout the training period. The program supports a resident who needs to complete an elective in another hospital as

part of a job application. Some residents have entered the program with a potential offer of employment from their “home” university/hospital. Their training is tailored according to the ICU to which they are returning. Each resident is allocated an intensivist mentor who also provides informal career guidance as well as general advice and personal support.

Research

The goal of an academic department is to provide an environment where translational research can flourish; that is, to create an infrastructure with talented individuals where discoveries at the laboratory bench can be moved to the clinical arena in a timely fashion and where puzzling questions or observations at the bedside can be tackled by clinician scientists.

Research activity within the DCCM has shown remarkable growth in the last 3 years. During this period, we believe our Division has achieved several noteworthy accomplishments. Up to 2007, the majority of research within the DCCM was performed by the extensive effort of Drs. Jim Kutsogiannis and Michael Jacka, whose interests have centered primarily on neurotrauma, organ donation and perioperative outcomes.

In 2007, the Division was successful in recruiting Dr. Sean Bagshaw, a clinician scientist to further stimulate and develop a core research infrastructure. Early following his appointment to the Division, Dr. Bagshaw was awarded a major Independent Investigator Award from the Alberta Heritage Foundation for Medical Research. Dr. Sean Bagshaw is now the Director of Research for the DCCM, and has been awarded a Tier II *Canada Research Chair in Critical Care Nephrology*. He is also cross-appointed to the School of Public Health and the Epidemiology Coordinating and Research (EPICORE) Centre.

Critical Care Nephrology is a recognized strength of the DCCM. Dr. Bagshaw is recognized as a leader, both nationally and internationally, in this field. In addition, Dr. Kutsogiannis and Dr. Gibney have recognized expertise and research interest in this field. This work is further supported by the presence in the DCCM of 4 intensivist-nephrologists, Dr. Curtis Johnston, Dr. Shelley Duggan, Dr. Darren Markland and Dr. Adam Romanovsky.

On a semi-annual basis, the DCCM has sponsored a state-of-the-art symposium focused on Acute Kidney Injury and Renal Support in Critical Illness, targeted towards clinicians, trainees and nurses. This symposium, supported by Alberta Innovates – Health Solutions, has attracted several notable internationally recognized experts in the field to speak and has been well attended.

Landmark Research

The DCCM has participated and been a major contributor to several recently published landmark clinical studies in critical care.

POISE Trial (*Lancet* 2008; 371:1839-47): This large multi-centre randomized trial of patients at risk for cardiac events, evaluated the effects of peri-operative beta-blockers. The key findings from this trial were a higher risk of stroke and death in those patients allocated to peri-operative beta-blocker therapy. This trial has significant translational impact on the management of these patients in the peri-operative period. We were one of the top recruiting centers for the POISE Trial.

LOVS Trial (*JAMA* 2008; 299:637-45): This multi-center randomized trial compared conventional low-tidal volume ventilation with an experimental “open-lung approach” to ventilation for critically ill patients with acute respiratory distress syndrome. This trial found no difference in all-cause mortality between the groups; however, the “open-lung” group has fewer episodes of refractory hypoxemia and use of rescue therapies.

NICE-SUGAR Trial (*New England Journal Medicine* 2009;360:1283-97): This trial, supported by the Canadian Critical Care Trials Group (CCCTG), evaluated two approaches to glycemic control in critically ill patients. The key finding of this trial that tight glycemic control is associated with harm, has certainly led to widespread changes in clinical practice. We were one of the top recruiting centers for the NICE-SUGAR Trial.

Critically ill patients with 2009 influenza A (pH1N1) in Canada (*JAMA* 2009; 302:1872-79): This was an investigator initiated observational study of patients with respiratory failure infected with pH1N1 and admitted to ICU. This was a national collaboration. The GSICU, GNH, RAH contributed to the phase I study and the GSICU contributed considerably to the phase II study.

PROTECT Trial (*New England Journal Medicine* 2011;364:1305-1314): This trial, also supported by the CCCTG, evaluate two regimens for deep venous thrombosis (DVT) prophylaxis in critically ill patients. The key finding of this trial was no difference in the incidence rate of DVT and similar bleeding episode rates; however, there were novel secondary findings to suggest low-molecular weight heparin reduce the rate of pulmonary embolism and heparin-induced thrombocytopenia. Again, the DCCM was a top recruiter for this trial.

Daily sedation interruption in mechanically ventilated critically ill patients cared for with a sedation protocol: a randomized controlled trial (*JAMA*. 2012 Nov 21;308(19):1985-92) Multicentre randomized controlled trial of 430 critically ill, mechanically ventilated adults conducted in 16 tertiary care medical and surgical ICUs of protocolized continuous opioid and/or benzodiazepine infusions or to protocolized sedation plus daily sedation interruption. Main outcomes were time to successful extubation. Secondary outcomes included duration of stay, doses of sedatives and opioids, unintentional device removal, delirium, and nurse and respiratory therapist clinical workload (on a 10-point visual analog scale [VAS]). Investigator: Jacka. Funding CIHR

ABLE Study (submitted for publication) - Age of Blood Evaluation Trial in the Resuscitation of Critically Ill Patients. This is a randomized trial of “fresh” (<7 days) vs.

standard issue packed red cell transfusion in critically ill patients. We recruited a significant number of patients. Investigators: Bagshaw. Funding: CIHR.

REALISTIC 80 Study (manuscript in preparation)- Realities, Expectations, and Attitudes to Life Support Technologies in Intensive Care for Octogenarians. This is an observational study focused on >80 year olds admitted to ICU – largely examining their experience in and following ICU. Investigators: Bagshaw, Kutsogiannis. Funding: CIHR.

ROSII Trial (manuscript in preparation)- A Randomized, Double-Blinded Controlled Trial Comparing High vs. Standard Dose Oseltamivir in Severe, Influenza Infection in ICU. This is a randomized comparison of standard vs. high-dose oseltamivir for treatment of critically ill patients with severe pH1N1 infection. Investigators: Bagshaw, Kutsogiannis. Funding: PHAC.

OSCILLATE Trial (N Engl J Med. 2013 Feb 28;368(9):795-805) – The Oscillation for ARDS Treated Early (OSCILLATE) Trial. This multi-center randomized trial of early oscillation compared with conventional lung-protective ventilation for critically ill patients with acute respiratory distress syndrome (ARDS). Investigators: Jacka, Bagshaw. Funding: CIHR.

ICU Frailty Study (CMAJ. 2014 Feb 4;186(2):E95-102) - A prospective multicentre observational study of frailty in critically illness. This is an observational study of all admissions aged>50 yrs. to the ICUs at the University of Alberta Hospital, Grey Nuns Hospital, and Misericordia Hospital (Edmonton) and Foothills Medical Centre, Peter Lougheed Hospital, and Rockyview General Hospital (Calgary) to objectively evaluate the prevalence of “frailty” in critically ill patients using the validated “Clinical Frailty Scale”. Investigators: Bagshaw, McDermid, Stelfox, Stollery, Rokosh, Majumdar, Rolfson, Tsuyuki. Funding: CIHR, CICF, UHF

Examples of DCCM Investigator Initiated:

SPARK Study (Trials. 2010 May 11;11:50)- A multi-center phase II randomized blinded controlled trial of the effect of furosemide in critically ill patients with early acute kidney injury. This is a randomized trial is a comparison of low dose furosemide infusion vs. placebo to maintain urine output in critically ill patients early acute kidney injury. The primary outcome is progression of kidney injury. Investigators: Bagshaw, Gibney. Funding: AHFMR.

TOP UP Trial - A Randomized Trial of Supplemental Parenteral Nutrition in Under and Over Weight Critically Ill Patients. Investigators: Kutsogiannis, Karvellas. Funding: RAH HF, CICF. This study was integral in the development of a subsequent phase 3, NIH funded study lead by Dr. D. Heyland.

Prophylactic perioperative sodium bicarbonate to prevent acute kidney injury following open heart surgery: a multicenter double-blinded randomized controlled trial (PLoS Med. 2013;10(4):e1001426) - This is a multi-center randomized trial of NaHCO₃ compared with saline for prevention of acute kidney injury in high-risk patients undergoing cardiac surgery with cardiopulmonary bypass. Investigators: Bagshaw. Funding: CICF.

Examples of DCCM Multi-Center Investigator Initiated:

STARRT-AKI Trial - Standard versus Accelerated initiation of Renal Replacement Therapy in Acute Kidney Injury (STARRT-AKI). This is a multi-centre pilot randomized trial of early vs. standard RRT initiation in critically ill patients with AKI has led to a multimillion Investigators: Bagshaw. Funding: CIHR, UHF and CIHR.

Research Collaboration

Members of the DCCM are actively collaborating with several well-recognized regional, national and international research groups on a variety of research themes including the following:

Canadian Critical Care Trials Group (CCCTG): Current studies include: OSCILLATE trial, REDOX trial, REALISTIC 80 study, ABLE trial, Influenza A pH1N1 study, and PRECISE trial.

Canadian Acute Kidney Injury (CANAKI) Study Group: This is an investigator-initiated collaborative of Canadian critical care and nephrology researchers, currently led by Dr. Bagshaw (U of A) and Dr. Wald (U of T), with a mutual interest in acute kidney injury and renal support in critically ill patients. The CANAKI Study Group is investigating a program of research centered on the ideal timing of when to initiated renal replacement therapy.

Rapid Response Systems (Medical Emergency Team/Rapid Response Team): In addition to several local investigator-initiated projects focused on RRS, the DCCM is also collaborating with well-established centers of excellence in Australia, United States and Sweden, evaluating the impact of RRS on the quality of care and outcomes for hospitalized patients.

Alberta Sepsis Network: Several members of the DCCM are participants in this provincial network of researchers at the University of Calgary and the University of Alberta and funded by Alberta Innovation – Health Solutions (Zygun, Kutsogiannis, Bagshaw, Sligl, Gibney).

Acute Dialysis Quality Initiative (ADQI): Members of the DCCM (Gibney, Bagshaw) have had an active ongoing role with ADQI since its inception in 2002, an internationally recognized and respected working group that has been a driving force in quality improvement and research in the field of Critical Care Nephrology.

Critical Care Strategic Clinical Network: As indicated previously, DCCM members are active in the core committee and scientific arm of the network. This has afforded the members of the network to participate and be successful in provincial funding through junior investigator funding competitions and PRIHS competitions (AI:HS).

Research Infrastructure

Currently, a dedicated on-site office with 5 research workstations supports research at the University of Alberta Hospital. The office employs a full-time office manager whose salary is supported by contributions from the DCCM intensivists. The office also employs four part-time research coordinators. The current funding structure for coordinators is based on cost-recovery with direct billing to investigators for coordinator activity. In addition, the University provide Human Resources and Finance/Accounting support for the research office. The research office at the Royal Alexandra Hospital currently employs up to four coordinators. The research office at the Grey Nuns Hospital is similarly structured, employing two part-time coordinators.

Research activity in the DCCM is also supported by a number of additional resources. The Minimal Data Set (MDS) database supplied data from 2002 to 2012, which routinely captured key demographic, diagnostic, clinical, and outcome data on individual admissions to all ICUs in the Edmonton zone. This database currently contains patient-level data on approximately 25,000 independent ICU admissions. This resource has proven to have numerous research applications. In addition, the DCCM has recently integrated a provincial bedside critical care-focused computer information system (eCritical). This system has a number of research applications including: patient screening, data capture and numerous primary study applications. The TRACER data warehouse is the most comprehensive critical care data warehouse available to health services researchers in the world.

Trainee Supervision

In addition, the DCCM, largely through the efforts of Drs. Bagshaw, Zygun, Brindley, Sligl, and Kutsogiannis is now supervising the research activity of several trainees, including medical students, post-graduate residents, graduate students and international post-graduate fellows. The results of all of these studies (except those still ongoing) have been either presented at scientific meetings or published in peer-reviewed journals. The DCCM accepted its first international research fellow (Brazil) in September and October 2010.

Research Activity by Trainees (2007-2015)

Recent Trainees Supervised:

M. Douma, Nurse Practitioner trainee, University of Toronto. Project: Resuscitation following penetrating abdominal and pelvic trauma

Dr. L Remington, Infectious Disease resident, University of Alberta. Project: Community Acquired Pneumonia

Dr. S. Turvey, Infectious Disease resident, University of Alberta. Project: Survival of HIV-infected Critically Ill Patients in the Era of Highly Active Antiretroviral Therapy

Dr. A. McFarlane, Internal Medicine Resident, University of Alberta.

Project: Hospitalized Influenza Patients during 2013-2014; a Comparison of ICU and Ward Treated Patients including Antimicrobial Therapy, Adverse Events, and Outcomes

Dr. T. Dragon, Medical Microbiology resident, University of Alberta. Project: : Nosocomial gram-negative bacteremia in intensive care: epidemiology, antimicrobial susceptibilities and outcomes.

Dr. L Azevedo, International Research Fellow, University of Sao Paulo. Project: Incidence and long-term outcomes of critically ill adult patients with moderate-to-severe diabetic ketoacidosis: retrospective matched cohort study.

Dr. P. Fidalgo, International Research Fellow, Department of Nephrology, Hospital Fernando Fonseca. Project: Association between transient acute kidney injury and morbidity and mortality after lung transplantation: a retrospective cohort study.

Dr. F. de Sousa Cardoso, Hospital Fernando Fonseca. Project: Respiratory rate at intensive care unit discharge after liver transplant is an independent risk factor for intensive care unit readmission within the same hospital stay: a nested case-control study.

Dr. Ilana Kopolovic, Internal Medicine Resident, University of Alberta. Project: Kidney Outcomes in Patients Undergoing Surgical Correction of Abdominal Aortic Aneurysms.

Dr. Wei Wang, Cardiac Surgery Resident, University of Alberta. Project: Post-Cardiac Surgery Acute Kidney Injury in Octogenarians.

Dr. Ivens Augusto de Souza, Post-Graduate Fellow, Sirio Libanes Hospital, University of Sao Paulo, Brazil. Project: Fluid Balance in Critical Illness: Impact of Acute Kidney Injury on Outcome.

Dr. L. Asadi, Infectious Diseases Resident, University of Alberta. Project: Macrolide-based regimens and mortality in hospitalized patients with community-acquired pneumonia: a systematic review and meta-analysis. Dr. Asadi received the Abbott Abstract Award as well as the John Embil Award for excellence in infectious diseases research by a trainee at the Association of Medical Microbiology and Infectious Diseases Annual Meeting, Quebec City, QC, April 2013

Dr. Adam Romanovsky, Critical Care Medicine Fellow, University of Alberta. Project: Rate of correction of hyponatremia post liver transplantation and possible consequences of a rapid rise in serum sodium.

Dr. Heidi Choi, Internal Medicine Resident, University of Alberta. Project: Incidence and outcomes in critically ill patients admitted with diabetic ketoacidosis.

Dr. Dominic Carney, Critical Care Medicine Fellow, University of Alberta. Project: Outcomes of patients with Usual Interstitial Pneumonia admitted to the intensive care unit.

Dr. Constantine Karvellas, Graduate Student, Divisions of Critical Care Medicine and Gastroenterology, University of Alberta. Project: Graduate Student, Divisions of Critical Care Medicine and Gastroenterology, University of Alberta. Project: Perioperative prognostication in liver transplantation.

Dr. Paul Engels, Critical Care Medicine Fellow, University of Alberta. Project: Pleth Variability Index in Critical Care Trauma Patients. Funding: Masimo Inc.

Ambica Parmar, Summer Student, Undergraduate, University of Alberta. Project: Medical emergency team and end-of-life care. Funding: Health Quality Council of Alberta Scholarship and Alberta Heritage Foundation for Medical Research/Alberta Innovates – Health Solutions Summer Studentship.

Dr. Kris Chan, Internal Medicine Resident, University of Alberta. Project: Clinical outcomes and prognostic factors in patients with acute myelogenous leukemia (AML) admitted to the intensive care unit: a case-control study.

Dr. Amanda Roze des Ordons, Anesthesiology Resident, University of Alberta. Project: Clinical outcomes and prognostic factors in patients with acute myelogenous leukemia (AML) admitted to the intensive care unit: a case-control study.

Dr. Hussein Kanji, Emergency Medicine Resident, University of Alberta. Project: Relative Difference between pre-operative and cardiopulmonary bypass mean arterial pressures is independently associated with cardiac surgery-associated acute kidney injury. Funding: Edmonton Civic Employees Grant.

Dr. Holly Hoang, Infectious Diseases Resident, University of Alberta. Project: Macrolide use in the treatment of critically ill patients with pneumonia: incidence, correlates, timing, and outcomes. Dr. Hoang won 1st Prize for Subspecialty Resident Oral Presentation, Department of Medicine Research Day

Dr. Luc Benoit, Internal Medicine Resident, University of Alberta. Project: Tremor due to Vancomycin Therapy: A Case Report and Literature Review.

Dr. Joshua Landy, Internal Medicine Resident, University of Alberta. Project: Gonococcal Septic Shock, Acute Respiratory Distress Syndrome, and Multisystem Organ Failure: A Case Report.

Dr. Constantine Karvellas, Critical Care Fellow, A case-control study of single-pass albumin dialysis for acetaminophen-induced acute liver failure.

Dr. Aidan Cunniffe, Family Medicine/Emergency Medicine Resident, University of Alberta. Project: members of critically ill patients: a feasibility study.

Thesis Supervision, University of Alberta:

Dr. K. Macala,

Dr O. Rewa,

MSc (Epi): Acute Kidney Injury. Supervisor: S. Bagshaw

Dr Yahya Khormi, Neurosurgical Resident, University of Alberta. Master's Thesis: Compliance with brain trauma foundation guidelines for intracranial pressure monitoring in severe traumatic brain injury and its effect on outcome: A population based study. Supervisor: D. Zygun

Dominique Michaud R.N. Assessment of 4% trisodium citrate as compared to saline or diluted heparin solution to ensure patency of central venous catheters in critically ill patients in the intensive care unit. Successfully completed MSc Nursing, The University of Alberta, 2002. Co-Supervisor: D.J. Kutsogiannis

Dr. Jun Gao, Biostatistician, Health Canada. Comparison of three methods of correlated survival analysis in a randomized trial of continuous renal replacement therapy. Successfully completed MSc Biostatistics, The University of Alberta, 2004. Co-Supervisor: D.J. Kutsogiannis.

Mrs. Cathy Alberda. MSc Nutritionist, The Royal Alexandra Hospital. Probiotic Therapy in Critically Ill Enterally Fed Patients. Successfully completed MSc Nutrition, The University of Alberta, 2005. Co-Supervisor: D.J. Kutsogiannis.

Dr. Gonzalo G. Guerra. Pediatric Intensivist, The University of Alberta. Safe Administration of Milrinone Infusion. Successfully completed MSc. Epidemiology, The University of Alberta June 6, 2011. Supervisor: Dr. D.J. Kutsogiannis.

Dr. Sayf Gazala. Trainee, General Surgery, The University of Alberta. Quality of Life after video assisted thoracoscopic surgery (VATS) anatomical lung resection for lung cancer. Completed first of two year MSc Clinical Epidemiology, the University of Alberta. Supervisor: Dr. D.J. Kutsogiannis.

Research Productivity

The academic productivity of the proposed Department has increased steadily. The most recent 2 years are included as Appendix 2. In 2013, 79 unique publications were documented by Divisional members. This increased to 94 in 2014.

Financial Support

In addition since 2009, research activity in our Division has been successful in securing funding for the following (mostly peer-reviewed) grant applications: *Canadian Institutes for Health Research, Alberta Innovates: Health Solutions Alberta Heritage Fund for Medical Research), Canadian Intensive Care Foundation, Royal Alexandra Hospital Foundation, University of Alberta Hospital Foundation, Rick Hansen Foundation Man in Motion, Physician Services Incorporated, Children's Hospital of Eastern Ontario Research Institute, Royal Alexandra Hospital Nursing Research Fund, Transplant Fund Value Added, Canadian Blood Services, Edmonton Civic Employees Charitable Assistance Fund, Women and Children's Health Research Institute Innovation Grant, Centre for Excellence for Gastrointestinal Inflammation and Immunity Research, and Royal Alexandra Hospital Nursing Research Fund.* Annual grant funding has increased from \$443,129 in 2013 to \$1,454,231. Examples of funding success are identified in Appendix 2.

The educational program and research office is supported by a voluntary tithe on clinical earnings of intensivists. The members contribute a total of \$245,400 annually. This has increased by \$10000 from 2013 due to efforts of the Research Director, Program Director, and Divisional director.

The FoMD provides funding for 4 GFT academic rank-based salaries (Zygun, Brindley, Chin, Gibney) while the fifth GFT salary is provided in combination with Canada Research Chair (Bagshaw). Alberta Innovates: Health solutions support Drs. Zygun and Bagshaw. All GFT positions are cost shared with Alberta Health Services. In addition, the DCCM shares an Administrative Professional Officer, Jacqueline Jubinville, with the Department of Anesthesiology and Pain Medicine. The Faculty of Medicine and Dentistry provides stipends to the Residency Training Program Director and to the clinical faculty members who are actively involved in teaching. In addition, the FoMD provides a 0.5 FTE administrative assistant to the Director. This assistant along with the 0.5 FTE provided by the Post Graduate Medical Education Office forms a 1.0 FTE administrative assistant for the entire educational program. The Division also utilizes the administrative support provided to the Zone Clinical Department Head and Senior Medical Director by Alberta Health Services as the clinical and academic programs are intimately linked in critical care. (Residents, rotating and critical care, provide tier 1 coverage in the zone ICUs).

The majority of funding required for resident education and research infrastructure is obtained from the faculty members through the aforementioned contributions.

Future Directions

Academic activity in the DCCM has increased considerably in the past years – highlighting a healthy balance between local investigator-initiated studies and educational programs, provincial collaborative efforts, nationally collaborative studies and Participation in the Critical Care Royal College Critical Care subcommittee, along with internationally collaborative work and industry partnership. Members are strongly supportive of dedicated future recruitment aimed to attract academic intensivists that will be facilitated by Academic Department status. All members support the academic mission of the combined AHS Clinical Department of Critical Care Medicine and proposed Academic Department of Critical Care Medicine, FoMD, University of Alberta. The overarching goal for the proposed academic Department of Critical Care Medicine is to improve the lives and care of those individuals affected by critical illness through improvements in health services delivery, translational research, clinical research, epidemiological research, and all levels of physician and allied health care provider education.

Health Services Research/Quality/Patient Safety

Health Services Research and specifically patient safety and quality improvement are concepts, which are deeply embedded in the culture of Critical Care Medicine. This is likely due to the combination of severity of illness of patients combined with the use of multiple high risk medications and sophisticated life support technologies. In collaboration with the Critical Care Strategic Clinical Network and eCritical, we are positioned to become international leaders in health services research for critical care medicine. We have also initiated an international research fellowship program, with the aim of attracting foreign fellows to contribute to and complete research training within the DCCM. Despite our recent success we believe that the research activity of our Division possesses huge potential to be international leaders. Our vision for the near future largely encompasses the successful recruitment of additional clinician scientists. The TRACER data warehouse will provide an unparalleled resource to facilitate health services, quality and patient safety research. In addition to the work Dr. Bagshaw has accomplished in the fields of critical care nephrology, medical emergency teams, and critical care capacity, our two new special continuing status recruits have strong expertise in the areas of quality and health services research. The successful recruitment of a surgical intensivist with graduate training in academic quality and patient safety will further this quality research objective. Our second recruit joining the FoMD in 2016 after completion of his PhD in Epidemiology already has had success in grant and publications in health services research and critical care

Translational Research

The proposed academic Department will continue to strongly support the FoMD Departments of Medicine, Surgery, and Anesthesia Faculty members who possess translational research programs. Currently, Dr. Rachel Khadaroo maintains a laboratory in the Department of Surgery. Due to the challenges of maintaining an acute surgery and intensive care practice Dr. Khadaroo looked for partnerships to maintain y=her

laboratory productivity. She has taken on a major mentorship role for an excellent Anesthesia based Critical Care trainee and with the strong support of Critical Care, Surgery and Anaesthesia, she has entered the CIP program. The Division has committed to recruit this individual to the proposed Academic Department of Critical Care Medicine upon successful completion of her PhD in the CIP program. She will primarily work in Critical Care but there is agreement she will share the laboratory with Dr. Khadaroo. We expect such collaborations to continue to expand with the progression to Academic Department status.

Clinical and Epidemiological Research

The current strengths of the Division in Critical Care Nephrology, Critical Care Epidemiology and clinical research will continue to grow with subsequent recruitment of academic intensivists. With the recruitment of Drs. Dean Karvellas, David Zygun, Sean van Diepen, there is planned increasing academic productivity in subspecialty Critical Care. The fields of focus and strength will be critical care hepatology (including transplant), Neurocritical Care, and Cardiovascular Critical Care. It is expected the academic Department of Critical Care Medicine will be international leaders in these burgeoning Critical Care subspecialties.

Education

Our first goal will be to maintain our excellent RCPSC critical care training program, with expected successful external review in 2017. We have also initiated an international research fellowship program, with the aim of attracting foreign fellows to contribute to and complete research training within the DCCM. We have had three international research fellows in the past two years. We expect the available expertise and resources within the proposed academic Department will increasingly attract these trainees and bolster academic productivity. Significant efforts are underway to develop subspecialty training programs. The fields of neurocritical care and cardiovascular critical care are now recognized subspecialties within critical care recognized by national and international critical care societies. A Cardiovascular Clinical Critical Care fellowship is under development. Two Faculty are now certified neurointensivists as a requirement for the development of an internationally recognized neurocritical fellowship program. The DCCM has made substantial improvements in graduate student supervision over the last two years. The DCCM has gone from two to six Faculty registered to supervise graduate students in the School of Public Health or Medical Science. A concomitant increase in graduate students is only expected to continue with the upcoming recruitment. This will further enhance our academic productivity. We will continue to strongly support supervision of post graduate trainees in Medicine, Surgery, Anaesthesia, and Emergency medicine in their research projects.

Leadership

The members of the DCCM will continue to take leadership roles in the development of Critical Care Medicine in Canada and in our health care system to facilitate the academic

mission of the FoMD. The DCCM was one of the first interdepartmental divisions of Critical Care Medicine and the first stand alone Division of a Faculty of Medicine in the country. Graduates of the residency training program have gone on to currently occupy major academic positions elsewhere in Canada and internationally. The DCCM is increasingly being recognized as a leader in critical care research. The members of the DCCM occupy a number of important leadership positions nationally, within the province and locally. Members of the DCCM play a significant role in many areas within the Faculty of Medicine and Dentistry, Alberta Health Services, Covenant Health and other organizations. Members are also on the executive of the Canadian Critical Care Society and participate actively in the Royal College of Physician and Surgeons Subspecialty (Critical Care) committee.

Financial Considerations

The majority of intensivists are remunerated on a fee for service basis by billing the Alberta Health Care Insurance Plan, which has a separate set of critical care fee codes. In addition, intensivists receive specialist on-call payments from AHS. One intensivist is a member of the Department of Medicine Academic Alternate Practice Plan (AARP) and provides “shadow billings” to that department. Five intensivists have academic geographic appointments within the DCCM and receive academic rank based salaries, all of which are cost shared with AHS. The ICU directors receive a stipend for medical leadership from AHS Medical Affairs. The DCCM first submitted a proposal for a clinical alternate funding plan (AFP) to Capital Health in 2004, which was not supported. Subsequently, efforts were combined with the Academic Department of Critical Care Medicine in Calgary. Unfortunately, despite strong support by both University’s Critical Care Medicine Faculty and the AMA, Alberta Health suspended negotiations with Critical Care Medicine after an initial contract offer was provided by Alberta Health as they planned a major reassessment of the current ARPs in medicine and pediatrics. Since then, the DCCM has participated in efforts to develop and negotiate both AARPs and AFPs within the provincial academic framework. Patterns of work and challenges to academic productivity and measurement are similar to those in the neonatal and Pediatric Critical Care fields and as such negotiations will require. Discussions are ongoing to develop either a clinical AFP or AARP. The fee for service schedule for Critical Care Medicine in Alberta is highly competitive and as such we have had success in recruitment. However, these payments are for clinical work and a stable funding mechanism for academic intensivists is required. This is not an issue isolated to Critical Care Medicine but generalized to all non-ARP Departments. This is not viewed as a barrier to progression to Departmental status but rather a risk to the FoMD generally that we share regardless of academic status.

Currently, the Division does not require additional resources for the transition to Academic Department status. We do request the APO shared with Anaesthesia formally report to both the Chair of Anaesthesia and proposed Chair of Critical Care Medicine. The current APO reports that at times over 50% of her time are spent on the growing academic activity within the Division of Critical Care Medicine. Recognition of her efforts away from Anesthesia and in Critical Care through this minor governance structure

change represents current practice and not a substantial change. The relationship of the current Division with the Department of Anaesthesia is strong and will do not recommend substantial changes to current practice. We will be co-located on the second floor of CSB which will further facilitate the ability of the APO to cross cover these Departments.

Conclusions

Critical Care Medicine is a rapidly developing and expanding discipline, which impacts almost every other area of healthcare. The DCCM Faculty members have created a highly regarded reputation through their clinical care, research, teaching and leadership activities nationally and internationally. For a young discipline, the DCCM has carried a larger clinical, educational and research than might be expected. Similarly, its members have provided invaluable leadership within the Faculty of Medicine and Dentistry, Alberta Health Services and beyond. Although Critical Care Medicine has been a free standing Division within the Faculty of Medicine and Dentistry, creation of a full academic Department of Critical Care Medicine would ensure the appropriate academic profile for the discipline at the University of Alberta. In this respect, many inside and outside the Faculty of Medicine and Dentistry, including granting agencies, do not understand the concept of a free standing academic division within the Faculty. Creation of a full academic Department of Critical Care Medicine would provide clarity. It would also provide consistency with the Clinical Departmental status of Critical Care within Alberta Health Services, Edmonton Zone and with the Departments of Critical Care at the Faculty of Medicine at the University of Calgary and Dalhousie University, the former with whom, we have significant academic contacts in the Alberta Sepsis Network but even more so through the Critical Care Strategic Clinical Network of Alberta Health Services and with whom we are partners in the province-wide Critical Care Clinical Information System.

The Division of Critical Care Medicine does not consume a large proportion of resources within the FoMD due to its partnership with the health care system. Significant resources are not required for the transition. The advancement of Critical Care Medicine to a full academic Department would further elevate the profile of the discipline externally for recruitment. This would improve the attractiveness of Critical Care Medicine as we seek to further to advance the academic mission of the FoMD.

Appendix 1. Membership of the Proposed Department of Critical Care Medicine

Attached

Appendix 2. Research Productivity

Attached

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University of Alberta
Edmonton • Alberta T6G 2R7
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February 22, 2016

Dr. Steven Dew
Provost & VP Academic
2-40 South Academic Building

Dear Dr. Dew,

Re: Transition of the Division of Critical Care Medicine to the Department of Critical Care Medicine in the Faculty of Medicine & Dentistry.

I'm writing to provide my recommendation for the establishment of the Department of Critical Care Medicine in the Faculty of Medicine & Dentistry.

Internal Faculty approvals have been obtained at the following stages:

- Faculty of Medicine & Dentistry Dean's Executive Committee approved March 9, 2015
- Faculty of Medicine & Dentistry Chair's Committee approved October 7, 2015
- Faculty of Medicine & Dentistry Faculty Council approved November 17, 2015

Critical Care Medicine is undergoing a fundamental change across Canada. Academic Health Science Centers are being challenged to address the rising demand for critical care medicine services and the education of new generations of Critical Care Medicine physicians and related healthcare providers. In addition, we are now asking Critical Care Medicine to standardize care and technologies across multiple hospital sites, optimize Intensive Care Unit integration and in-patient care, and participate in quality assurance, cost control, research and fundraising initiatives.

In order for Critical Care Medicine to meet these objectives, and to advance its long term growth and mission, I believe it must transition from a Division into a free standing Department of Critical Care Medicine within the Faculty of Medicine & Dentistry.

Currently, the Division of Critical Care Medicine in the Faculty of Medicine & Dentistry is one of the largest academic and clinical Critical Care units in Canada with 50 members, of whom 36 have primary academic appointments in Critical Care (5 GFT Faculty, 2 Special Continuing Academic Faculty and the remainder Clinical Academic Colleagues). The other 14 have their primary appointments in other medical subspecialties yet provide clinical and academic support to Critical Care Medicine. In addition, the Division is recruiting 2 Special Continuing Faculty that will join in 2016 and 2018.

Education

Critical Care Medicine runs a fully accredited Royal College of Physician and Surgeons of Canada, Critical Care Medicine Certification Program. There are currently 6 Residents in this program. In addition, over 115

Residents from Medicine, Surgery, Pediatrics, Anesthesia and Emergency Medicine rotate through the Intensive Care Units across Edmonton as part of their training programs and. With Department status, Critical Care Medicine will be able to enhance Undergraduate Medical Education teaching and increase the number of Graduate students and Research Fellowships.

Research

In 2014 Critical Care Medicine had over academic 80 publications and over \$3 million in grant funding, including 3 CIHR grants, as primary or principle investigator status. Between 2007 and 2015 there were 26 trainee supervised research projects and 8 graduate students completed their thesis. Since 2007, Critical Care Medicine has participated in 11 international multi-center landmark clinical trials, each published in highest impact journals. With Department status, Critical Care Medicine will be able to enhance and expand their research activities through recruitment of additional GFT faculty.

Clinical Care

Currently Critical Care Medicine incorporates the eight Intensive Care Units across the city (Grey Nuns Community Hospital, Misericordia Community Hospital, Royal Alexandra Hospital, Sturgeon Community Hospital, Mazankowski Alberta Heart Institute, University of Alberta Hospital Burn Unit, University of Alberta Hospital Neurosciences Intensive Care Unit and University of Alberta General Systems Intensive Care Unit). This represents 117 intensive care unit beds providing care to Edmonton and Northern Canada and in total providing over 30,000 patient days of care to approximately 5,000 patients each year. Through this clinical care activity there is tremendous opportunity for additional research, education and quality initiatives.

Fundraising

Critical Care Medicine, within the Faculty of Medicine & Dentistry, has tremendous opportunity and prospects for fundraising. It's important to note that members of the Critical Care Medicine Division currently, through their internal tithing process, support the education and research mission of the Division to the extent of approximately \$500,000 per year.

In summary, transition of Critical Care Medicine into an academic department of Critical Care Medicine, Faculty of Medicine & Dentistry, will provide the following advantages:

1. It will strengthen the academic mission of the Faculty of Medicine & Dentistry by removing any organizational barriers to future educational, research and fundraising development within Critical Care Medicine.
2. It will ensure that the Faculty of Medicine is competitive nationally and internationally in the field of Critical Care Medicine by removing any barriers to academic recruitment. Academic Critical Care Medicine Faculty do not want to be recruited into a division and to be competitive we must form a department.
3. Acknowledge the progression and increasing importance of Critical Care Medicine as a distinct specialty within the Royal College of Physicians and Surgeons of Canada and Alberta Health Services.

In support of this application I have attached the following items:

1. Briefing note dated February 23, 2015 by Dr. David Zygun and Dr. Noel Gibney entitled "Proposal for the Establishment of an Academic Department of Critical Care Medicine in the Faculty of Medicine & Dentistry.
2. A PowerPoint presentation entitled "Critical Care Medicine: The Future" prepared by Dr. David Zygun.

3. Letters of support from existing departments within the Faculty of Medicine & Dentistry:
 - a. Chair, Anesthesia, Faculty of Medicine & Dentistry, University of Alberta, Dr. Michael Murphy
 - b. Site Chief of Critical Care, Royal Alexandra Hospital, Dr. Jonathan Davidow
 - c. Site Chief Intensive Care Unit, Grey Nuns Community Hospital, Dr. Shelley Duggan

Sincerely,



Richard N. Fedorak, MD, FRCPC, FRCP (London), FRSC
Interim Dean, Faculty of Medicine & Dentistry
University of Alberta

cc: Dennis Kunimoto, Professor, Vice Dean – Faculty Affairs, Faculty of Medicine & Dentistry
David Zygun, Professor and Director, Division Critical Care Medicine
Noel Gibney, Professor, Division Critical Care Medicine

RF/ti

Academic Critical Care Medicine

University of Alberta

Attachment 3 – Slide 1 of 21

THE FUTURE
IS EXCITING

Attachment 3 – Slide 2 of 21

Established Specialty

- Critical Care Medicine now embodies a **unique body of knowledge** of the epidemiology, assessment, treatment and outcomes of critical illness and multiple organ failure
- Patients admitted to the ICUs are the healthcare system's **sickest, most complex and expensive patients** to care for (0.66% of GDP). The intensive care unit and intermediate care unit services have been found to be the highest cost among all categories of daily hospital services. Approximately **\$286 million** is spent annually on the provision of critical care services by Alberta Health Services (~1.5% of annual provincial health expenditures).

Attachment 3 – Slide 3 of 21

Established Specialty

- The need for intensive care continues to increase. Over 5 years in the US:
 - 4% decrease in the total number of hospital beds
 - ICU beds increased by 7%
 - Hospital non-ICU inpatient days increased by 5%
 - ICU inpatient days increased by 10%.
 - Annual critical care medicine costs increased by 44%
 - The proportion of hospital costs and national health expenditures allocated to critical care medicine decreased by 1.6% and 1.8
 - The ratio of ICU beds to hospital beds will continue to rise

Attachment 3 – Slide 4 of 21
Crit Care Med 2010, 38:65-71

Established Specialty

- Post-operative neurosurgery recovery room was created at Johns Hopkins Hospital in the 1920's
- During World War II, shock wards were established to resuscitate and care for soldiers injured in battle or undergoing surgery
- Critical Care Medicine with the application of life support technology evolved from the response to a poliomyelitis epidemic in Copenhagen 60 years ago

Attachment 3 – Slide 5 of 21

Development in Edmonton

- **First multisystem critical care units in Canada** were developed in the late 1960's in Toronto, Edmonton and Winnipeg
- A fellowship program in Critical Care Medicine developed in Edmonton by **Dr. E.G. King**
- In 1985, the Division of Critical Care Medicine was established under Dr. King as an Interdepartmental Division
- In 1987, Dr. Tom Noseworthy succeeded Dr. King as DCCM director and was followed by Dr. Richard Johnston in 1991.
- In the mid 1980s, **Dr. King and Dr. Tom Noseworthy were instrumental in the development of the Critical Care Medicine training programs of the Royal College of Physicians and Surgeons of Canada (RCSC).**
- In 1989, the University of Alberta Critical Care Residency Program was **one of the first to be accredited** by the Royal College of Physicians and Surgeons of Canada

Attachment 3 – Slide 6 of 21

Development in Edmonton

- In 1995, following the regionalization of healthcare in Alberta, Capital Health (now AHS) included Critical Care as one of its **Clinical Departments**, with the Regional Program Clinical Director (now Zone Clinical Department Head) responsible for controlling intensivist credentialing and provision of clinical privileges.
- In 2000, the Regional Program Clinical Director for Critical Care, Dr. Noel Gibney, was appointed as acting Divisional Director and subsequently, in 2002 was appointed as Divisional Director.
- **This allowed the academic Division and the Clinical Department to merge their vision, mission and goals.**

Attachment 2 – Slide 7 of 21

Clinical

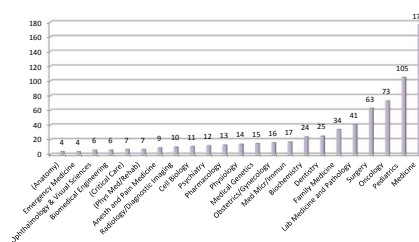
- The Division of Critical Care Medicine, University of Alberta/Department of Critical Care Medicine, Edmonton Zone, Alberta Health Sciences (DCCM) is **(one of) the largest integrated academic and clinical critical care units in Canada.**
- DCCM provides Intensivist coverage for **8 Critical Care Units** (multisystem and specialized) in **5 hospitals** totaling **121 beds**. The DCCM provides care for over **6500 patients** per year (over **37500 patient days**). Thousands of hospitalized patients are seen by our Medical Emergency or Rapid Response teams annually.

Attachment 2 – Slide 8 of 21

Clinical

- The DCCM has **50 members**, of whom 36 have their primary academic appointment in the DCCM.
- The DCCM is **larger, in terms of members and Faculty, than the two current Canadian academic Departments of Critical Care Medicine (Calgary and Dalhousie).**
- The DCCM has **9 primarily appointed Faculty members (5 GFT and 4 special continuing appointments)**. In addition, the Division has six GFT members secondarily appointed to Critical Care.
- The DCCM was successful in recruiting 2 additional special continuing status Faculty this year and will join the FoMD in 2015 and 2016. Finally, the DCCM has a translational anesthesiology based Intensivist researcher in the Clinical Investigator Program and will join Faculty in 2018. **This will mean the proposed Academic Department will have 16 GFT/SCS members by 2018.**

Attachment 2 – Slide 9 of 21



Attachment 2 – Slide 10 of 21

10

Clinical

- **Base Specialty**
 - 56% Medicine (Pulmonary, Nephrology, Infectious Disease, Hepatology, Cardiology, GIM)
 - 15% Anesthesia
 - 23% Surgery (Trauma, General, Cardiac, Burns)
 - 6% Emergency Medicine

Attachment 2 – Slide 11 of 21

Research

- The academic productivity of the proposed Department has increased steadily. In 2013, 79 unique publications were documented by Divisional members. This increased to 94 in 2014. It is expected 2015 will see over 100 unique publications
- Dr. Sean Bagshaw, a clinician scientist and the Director of Research for the DCCM, holds a Tier II *Canada Research Chair in Critical Care Nephrology*.

Attachment 2 – Slide 12 of 21

Research

- Since 2009, research activity in the DCCM has been successful in securing funding for the following (mostly peer-reviewed) grant applications: *Canadian Institutes for Health Research, Alberta Innovates: Health Solutions Alberta Heritage Fund for Medical Research, Canadian Intensive Care Foundation, Royal Alexandra Hospital Foundation, University of Alberta Hospital Foundation, Rick Hansen Foundation Man in Motion, Physician Services Incorporated, Children's Hospital of Eastern Ontario Research Institute, Royal Alexandra Hospital Nursing Research Fund, Transplant Fund Value Added, Canadian Blood Services, Edmonton Civic Employees Charitable Assistance Fund, Women and Children's Health Research Institute Innovation Grant, Centre for Excellence for Gastrointestinal Inflammation and Immunity Research, and Royal Alexandra Hospital Nursing Research Fund.* Annual grant funding has increased from **\$443,129 in 2013 to \$1,454,231 in 2015.**

Attachment 2 – Slide 13 of 21

Education

- The DCCM operates an accredited 2 year RCPSC Adult Critical Care Medicine training program.
- Currently training six residents that have already completed primary specialty
- The program has recently been approved for growth of an additional resident per year (third largest in country)
- The DCCM trains one or two international critical care residents a year in addition to the RCPSC residency program trainees
- The DCCM has developed a research fellowship for graduate training and a cardiac intensive care fellowship (one and two year)

Attachment 2 – Slide 14 of 21

Education

- The training program is also responsible for providing Critical Care exposure of two to three months duration to approximately 125 residents from the Department of Surgery, Medicine and its subspecialties, Emergency Medicine, Anesthesia, Neurosciences, Cardiovascular Surgery, Obstetrics and Gynecology as required by the RCPSC.
- Graduate student supervision in health services research, clinical epidemiology, translational research is increasing.

Attachment 2 – Slide 15 of 21

Other Contributions

- Canadian Critical Care Society
- End of Life Care
- Goals of Care Designations
- Canadian Critical Care Trials Group
- Trauma Services
- Burn Treatment
- Cardiac Surgery
- Neurosciences
- Donation and Transplantation
- Medical Simulation
- Crisis Management
- Sepsis Infectious Disease – H1N1, Ebola, MERs

Attachment 2 – Slide 16 of 21

Risks to not proceeding

- Impair recruitment and research productivity
- A disengaged Clinical Faculty will be unlikely to continue to contribute in the same way (time, \$250K per year) placing our education and research infrastructure at risk
- Competitively disadvantaged compared to other Departments of Critical Care Medicine

Attachment 2 – Slide 17 of 21

Critical Care Organizations in Academic Medical Centers in North America: A Descriptive Report

Stephen M. Pastores, MD, FCCM^{1,2}; Neil A. Halpern, MD, MCCM^{3,4}; John M. Ortopello, MD, FCCM⁵; Natalie Kostelccky, RN⁶; Vladimir Kvetan, MD, FCCM⁷

Objectives: With the exception of a few single-center descriptive reports, data on critical care organizations are relatively sparse. The objectives of our study were to determine the structure, governance, and experience-to-date of established critical care organizations in North American academic medical centers.

Design: A 40-item survey questionnaire was electronically distributed using Survey Monkey to the leadership of 27 identified critical care organizations in the United States and Canada between September 2014 and February 2015. A critical care organization had to be headed by a physician and have primary governance over the majority, if not all, of the ICUs in the medical center.

Measurements and Main Results: We received 24 responses (89%). The majority of the critical care organizations (83%) were called departments, centers, systems, or operations committees. Approximately two thirds of respondents were from larger (> 800 beds) urban institutions, and nearly 80% were primary university medical centers. On average, there were six ICUs per

academic medical center with a mean of four ICUs under critical care organization governance. In these ICUs, intensivists were present in-house 24/7 in 49%; advanced practice providers in 63%; hospitalists in 21%; and telemedicine coverage in 14%. Nearly 60% of respondents indicated that they had a separate hospital budget to support data management and reporting, overnight of these ICUs, and rapid response teams. The transition from the traditional model of ICUs within departmentally controlled services or divisions to a critical care organization was described as gradual in 80% and complete in only 20%. Nearly 90% indicated that their critical care organization governance structure was either moderately or highly effective; a similar number suggested that their critical care organizations were evolving with increasing domain and financial control of the ICUs at their respective institutions.

Conclusions: Our survey of the very few critical care organizations in North American academic medical centers showed that the governance models of critical care organizations vary and continue to evolve. Additional studies are warranted to improve our understanding of the factors that can foster the growth of critical care organizations and how they can be effective. (Crit Care Med 2015; 43:00-00)

Key Words: administrative, critical care; governance; intensive care unit; organization; staffing

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³Chair of Critical Care Medicine, Department of Surgery, Icahn School of Medicine at Mount Sinai, New York, NY

⁴Harvard Medical School, Boston, Massachusetts

⁵Department of Critical Care Medicine, University of Pennsylvania School of Medicine, Philadelphia, Pennsylvania

Attachment 2 – Slide 18 of 21

Critical Care Organizations in Academic Medical Centers in North America: A Descriptive Report

Stephen M. Parsons, MD, FCCM^{1,2}; Neil A. Halpern, MD, MCCM³; John M. Ortopello, MD, FCCM⁴; Natalie Koslosky, RN¹; Vladimir Krutson, MD, FCCM⁵

- The objective of the study was to determine the structure, governance, and experience to date of established critical care organizations (CCO) in North American academic medical centers. A CCO had to have an advanced governance structure, that is, headed by a physician with primary governance over the majority, if not all, of the ICUs and critical care operations in the medical center.
- They identified 37 CCOs. 10 were subsequently excluded leaving 27 CCOs identified.
- The first CCO has been in place for more than 30 years, four CCOs were set up between 1990 and 2000, five between 2001 and 2005, eight between 2006 and 2010, and six between 2011 and 2014. Only one CCO was exclusively a pediatric CCO.
- Approximately 38% (9/24) identified their CCO officially as a department, 21% (5/24) a center, 13% (3/24) a system, 13% (3/24) an operations committee, 4%(1/24) an institute, 4% (1/24) a service line, 4% (1/24) a signature program, and 4% (1/24) a critical care hospital.

Attachment 2 – Slide 19 of 21

UNIVERSITY OF ALBERTA
FACULTY OF MEDICINE & DENTISTRY
Division of Critical Care Medicine

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They Missed Us!

Attachment 2 – Slide 20 of 21

UNIVERSITY OF ALBERTA
FACULTY OF MEDICINE & DENTISTRY
Division of Critical Care Medicine

Questions?

Progress is impossible without change, and those who cannot change their minds cannot change anything.

- George Bernard Shaw

Attachment 2 – Slide 21 of 21

UNIVERSITY OF ALBERTA
FACULTY OF MEDICINE & DENTISTRY
Division of Critical Care Medicine

Attachment 4



Proposal for the establishment of an Academic Department of Critical Care Medicine in the Faculty of Medicine and Dentistry

Overarching Goal

- To strengthen the academic mission of the FoMD by further development of the academic critical care medicine.

Development as a Specialty

- The first multisystem critical care units in Canada were developed in the late 1960's in Toronto, Edmonton and Winnipeg.
- A fellowship program in Critical Care Medicine developed in Edmonton by Dr. E.G. King in 1970, was one of the first of its kind.
- In the mid 1980s, Dr. King and Dr. Tom Noseworthy were instrumental in the development of the Critical Care Medicine training programs of the Royal College of Physicians and Surgeons of Canada (RCPSC).
- In 1989, the University of Alberta Critical Care Residency Program was one of the first to be accredited by the RCPSC.
- In 2000, the Regional Program Clinical Director for Critical Care, Dr. Noel Gibney, was appointed as Divisional Director. This allowed the academic Division and the clinical Department to merge their vision, mission and goals. Faculty members could now hold a primary appointment in the DCCM and secondary appointments, if desired, in other departments.
- In 2012, Alberta Health Services created Strategic Clinical Networks (SCNs). Aligned with the Departmental structure of the AHS, critical care was one of the initial specialties to be recognized with network foundation.

Clinical

- Critical Care units are becoming an increasing component of hospitalized care. A 2010 study demonstrated the need for intensive care continues to increase. Over 5 years in the US there has been a 4% decrease in the total number of hospital beds but an increase in ICU beds by 7%. Hospital non-ICU inpatient days increased by 5% while ICU inpatient days increased by 10%. Importantly, annual critical care medicine costs increased by 44%. (*Crit Care Med* 2010, 38:65-71). It is expected the ratio of ICU beds to hospital beds will continue to rise.
- The Division of Critical Care Medicine, University of Alberta/Department of Critical Care Medicine, Edmonton Zone, Alberta Health Sciences (DCCM) is (one of) the largest integrated academic and clinical critical care units in Canada.
- DCCM provides Intensivist coverage for 8 Critical Care Units (multisystem and specialized) in 5 hospitals totaling 121 beds. The DCCM provides care for over 6500 patients per year (over 37500 patient days). Thousands of hospitalized patients are seen by our Medical Emergency or Rapid Response teams annually.
- The DCCM has 50 members, of whom 36 have their primary academic appointment in the DCCM. The DCCM is larger, in terms of members and Faculty, than the two current Canadian academic Departments of Critical Care Medicine (Calgary and Dalhousie).
- The DCCM has 9 primarily appointed Faculty members (5 GFT and 4 special continuing appointments). In addition, the Division has six GFT members secondarily appointed to Critical Care. With these 15 members, the DCCM is larger than 7 Departments in the FoMD based on data provided in 2014.

- The DCCM was successful in recruiting 2 additional special continuing status Faculty this year and will join the FoMD in 2015 and 2016. Finally, the DCCM has a translational anesthesiology based Intensivist researcher in the Clinical Investigator Program and will join Faculty in 2018. This will mean the proposed Academic Department will have 16 GFT/SCS members by 2018.

Research

- The academic productivity of the proposed Department has increased steadily. In 2013, 79 unique publications were documented by Divisional members. This increased to 94 in 2014. It is expected 2015 will see over 100 unique publications
- Since 2009, research activity in the DCCM has been successful in securing funding for the following (mostly peer-reviewed) grant applications: *Canadian Institutes for Health Research, Alberta Innovates: Health Solutions Alberta Heritage Fund for Medical Research), Canadian Intensive Care Foundation, Royal Alexandra Hospital Foundation, University of Alberta Hospital Foundation, Rick Hansen Foundation Man in Motion, Physician Services Incorporated, Children's Hospital of Eastern Ontario Research Institute, Royal Alexandra Hospital Nursing Research Fund, Transplant Fund Value Added, Canadian Blood Services, Edmonton Civic Employees Charitable Assistance Fund, Women and Children's Health Research Institute Innovation Grant, Centre for Excellence for Gastrointestinal Inflammation and Immunity Research, and Royal Alexandra Hospital Nursing Research Fund*. Annual grant funding has increased from \$443,129 in 2013 to \$1,454,231 in 2015.
- Dr. Sean Bagshaw, a clinician scientist and the Director of Research for the DCCM, holds a Tier II *Canada Research Chair in Critical Care Nephrology*.

Education

- The DCCM operates an accredited 2 year RCPSC Adult Critical Care Medicine training program.
- Currently training six residents that have already completed primary specialty
- The program has recently been approved for growth of an additional resident per year.
- The DCCM trains one or two international critical care residents a year in addition to the RCPSC residency program trainees
- The DCCM has developed a research fellowship for graduate training and a cardiac intensive care fellowship (one and two year)
- In addition, the training program is also responsible for providing Critical Care exposure of two to three months duration to approximately 125 residents from the Department of Surgery, Medicine and its subspecialties, Emergency Medicine, Anesthesia, Neurosciences, Cardiovascular Surgery, Obstetrics and Gynecology as required by the RCPSC.
- Graduate student supervision in health services research, clinical epidemiology, translational research is increasing.

Other Significant Contributions to Society

- Canadian Critical Care Society – End of Life Care, Goals of Care Designations
- Canadian Critical Care Trials Group
- DCCM is integral to Trauma Services, Burn Treatment, Cardiac Surgery, Neurosciences and Donation and Transplantation with U of A Hospital a referral centre for Western Canada

Attachment 5



Covenant Health
Grey Nuns
Community Hospital

January 15, 2016

Dr. Richard Fedorak
Interim Dean
Faculty of Medicine and Dentistry
University of Alberta
2J2.00 Walter C Mackenzie Health Sciences Centre
8440 – 112 Street NW
Edmonton, AB
T6G 2R7

Dear Sir:

RE: Critical Care Medicine

One can define a Department as a group comprised of individuals devoted to a particular academic discipline within a university. Not only is the goal to deliver excellent clinical care, but to further research, promote education, and generally support and advance the mission of the institution.

Since Dr. Zygun joined the Division of Critical Care in 2012, he has been focused on the transition from Division to Departmental status. It was a vision that was shared by the membership and we fully supported his efforts. We have grown tremendously during his tenure and now have strong leaders in the areas critical to Department success. We have a sought after training program, national research leaders as well as clinical expertise in cutting edge clinical care such as transplantation and cardiac support devices. As a consequence, we will be able to recruit outstanding individuals who will achieve individual and institutional success.

The Grey Nuns team fully supports this next phase of Critical Care in Edmonton without reservation. We are excited for the future and will support our Department in any way possible.

Yours truly,

Shelley Duggan, MD, FRCPC
Facility Chief, Grey Nuns ICU

cc: Dr. David Zygun

Attachment 6



Jonathan Davidow MD, FRCP(C)

*4228 10240 Kingsway Avenue, Edmonton, AB, T5H 3V9
Site Chief, Critical Care, Royal Alexandra Hospital
Associate Clinical Professor, University of Alberta*

May 11, 16

Dr. Richard Fedorak
Dean, Faculty of Medicine and Dentistry,
University of Alberta,
2J2.01WC Mackenzie HSC
Edmonton, AB T6G 2R7

Dear Dr. Fedorak,

As Site Chief of Critical Care at the Royal Alexandra Hospital, I am writing this letter to express my support of the Division of Critical Care Medicine's application for Departmental status within the FoMD at the University of Alberta. Our site has a very active role in the education of residents from various specialties and in training our own RCPSC Adult Critical Care Medicine residents, but we feel we have been underperforming with respect to academic productivity.

Over the past year, we have successfully recruited an Otolaryngologist/Intensivist who is completing his Master's degree in Health Quality and an Anesthesiologist/Intensivist who is completing her PhD in Physiology in the Clinical Investigator Program. We have several impending retirements in the next 3-4 years, and as we work on our strategic plan, we look to recruit towards our future goals of increasing our academic productivity, particularly in the area of Health Quality research. I feel strongly that the graduation of our Division to Departmental status will give us a competitive advantage in recruiting individuals who will help achieve these goals. We are very grateful for your ongoing support of this process.

Sincerely,

A handwritten signature in black ink, appearing to be "JD" followed by a long horizontal stroke.

Jonathan Davidow

2-150S Clinical Sciences Building
Edmonton, Alberta, Canada T6G 2G3
Tel: 780.407.8861
Fax: 780.407.3200
www.anesthesiology.med.ualberta.ca

17 Jan 2016
Edmonton AB

Richard Fedorak MD, FRCPC
Interim Dean, Faculty of Medicine and Dentistry
University of Alberta
Edmonton AB, Canada

Re: Support for Critical Care's bid to become a full department

Dear Dr Fedorak,

The Department of Anesthesiology and Pain Medicine is fully supportive of the Division of Critical Care Medicine being awarded full Department status in the FoMD at the University of Alberta.

To some, this may be surprising in that Critical Care Medicine had its beginnings largely in anesthesiology, with other specialties such as pulmonology. However, it has become clear to us in anesthesia that Royal College certification in anesthesia does not fully prepare one to practice as a specialist in Critical Care Medicine. The same applies to Pulmonology. Additional specific training in Critical Care Medicine is now necessary to produce a competent anesthesiologist/intensivist, as it does for all other specialties such as pediatrics, surgery, medicine, emergency medicine and others.

You have heard me say before that there is no question that Critical Care Medicine has reached 'stand alone' specialty status. I say that for the following reasons:

- The Royal College says so: Critical Care Medicine has its own residency program and specialist credential
- Critical Care is a unique body of knowledge, science and literature with a research and education agenda based on and driving these factors
- Specialists in Critical Care Medicine are required to possess unique credentials, and are subject to unique privileging by health care organizations
- Critical Care as a specialty has its own professional associations, societies, awards, scientific meetings, etc
- Gravitation to 'closed units' because of the unique body of knowledge is occurring on an international scale.

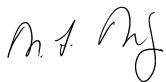
Clearly, the future of acute care medicine is integrally connected to Critical Care Medicine as larger and larger portions of our hospitals become critical care, observation and step down units. The natural consequence is that greater and greater proportions of our research base (especially clinical and health

systems) and learner education will fall to specialists in Critical Care Medicine.

Taken together, these factors insist that Critical Care Medicine has an academic agenda that is unique and substantial. The mission of the Faculty of Medicine and Dentistry is highly dependent on the activities of Critical Care Medicine now, and will only grow into the future in my opinion.

To reiterate my opening statement: The Department of Anesthesiology and Pain Medicine is fully supportive of the Division of Critical Care Medicine being awarded full Department status in the FoMD at the University of Alberta.

Yours truly,

A handwritten signature in black ink, appearing to read "M. F. Murphy". The signature is written in a cursive style with a large, looped "M" and "F".

Michael F Murphy MD, FRCPC
Professor and Chair

cc. Dr David Zygun

Attachment 8

NEW ACADEMIC PROGRAM LIBRARY IMPACT STATEMENT

Proposal for Department of Critical Care Medicine and the termination of the Division of Critical Care Medicine

Dr. Richard Fedorak, Interim Dean, Faculty of Medicine and Dentistry, has indicated that the Faculty of Medicine and Dentistry plans to establish a Department of Critical Care Medicine and terminate the existing Division of Critical Care Medicine.

The new Department of Critical Care Medicine will be launched on July 1, 2016. There is a predicted increase in Fellows and graduate students. The Faculty members will likely increase from thirteen to eighteen. The predicted increases are in the areas of cardiology critical care and neurological critical care. All students will be residents and therefore already registered as part of the current student complement of the Faculty of Medicine and Dentistry.

Impact on Collections

The proposed Department of Critical Care will be based exclusively on courses currently offered by the Division of Critical Care within the FoMD. The University of Alberta Libraries (UAL) currently maintains subscriptions to sufficient databases to support this department and its research. UAL already collects texts in the areas of medical education, critical care medicine, and research methodology to support current coursework, therefore no additional funds for the purchase of books are required. The area of cardiology is well-covered by our collection. However, the collections in neurological critical care are not as robust.

UAL subscribes to the major journals in these cardiology critical care but is missing Nature reviews Neurology and Cerebrovascular Diseases; two key neurology journals. Subscription costs for these journals tend to be high. Given that the students will be residents, they will already be authorized to access all of the Library's licensed electronic resources so there should be no added cost to the licenses.

Impact on Staff Time

Current residents receive instruction on library resources and literature searching, therefore no new instruction sessions will be required.

Researchers and Fellows in the new Department will require research support from UAL. This can be absorbed into current staffing.

Staff time will be involved if students interact with the staff at the library service desk, given that there is no increase in the number of students we do not foresee an increase on library staff time.

New Academic Program Library Impact Statement Certification

Submitted to the Academic Development Committee

The Library has examined the proposal for the Department of Critical Care Medicine in the Faculty of Medicine and Dentistry. We anticipate that the new program may incur additional costs for Library acquisitions.

The attached commentary outlines the anticipated impact on Library services and facilities of the above program, indicating the Library's current ability to support the program and any additional costs it might entail.

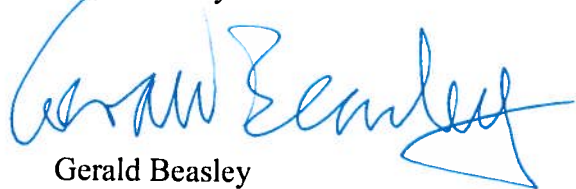
We support the changes proposed by the Faculty and look forward to working with the instructors and students.

Executive summary of costs:

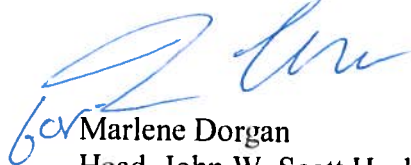
Total Costs	Initial Year	Ongoing - at full program capacity
1. Collections budget <ul style="list-style-type: none">• Purchases• Subscriptions• Electronic access	N/A TBD* N/A	N/A TBD* N/A (plus cost of inflation)
2. Capital budget	\$0	\$0
3. Operating/staffing budget	N/A	N/A
Total Costs:	TBD	TBD

*Costs will be determined during subscription process with journal vendors.

Submitted by



Gerald Beasley
Vice-Provost and Chief Librarian

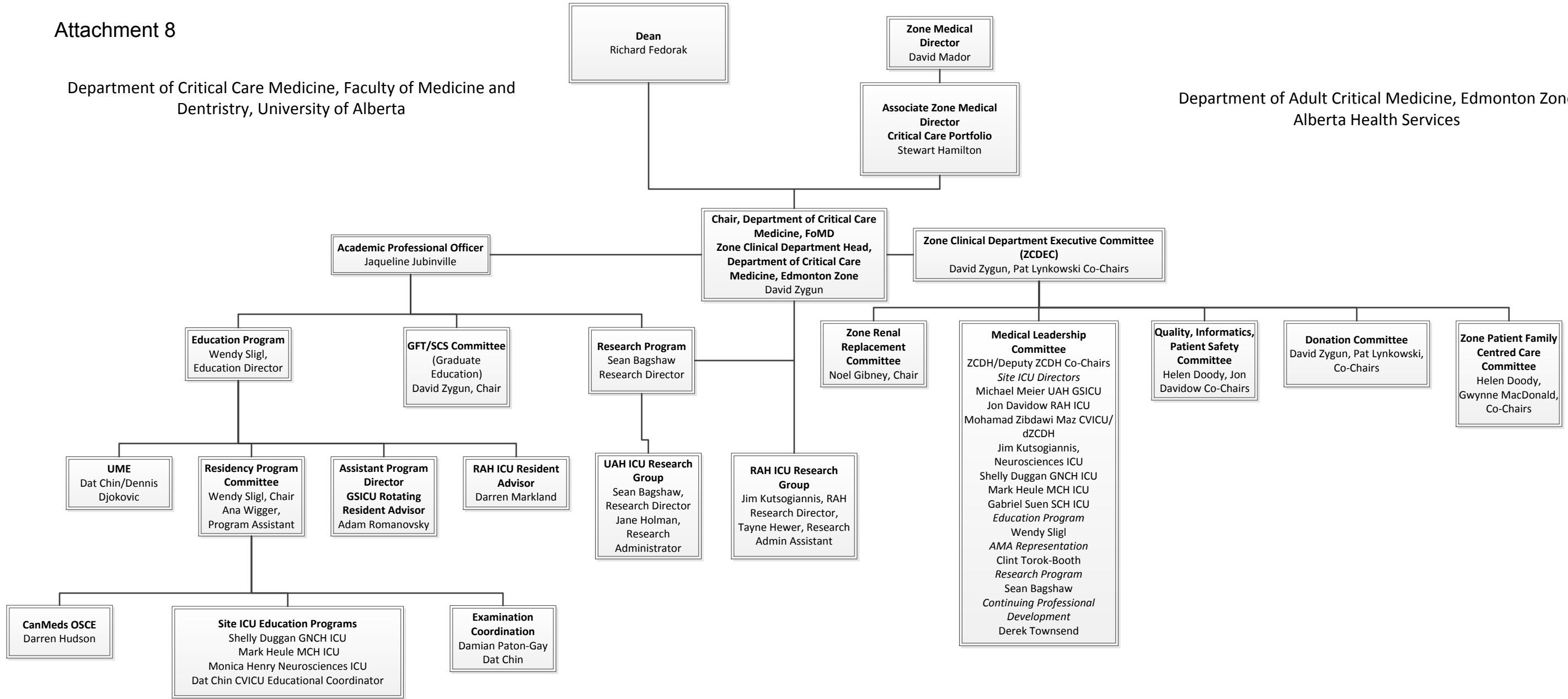


Marlene Dorgan
Head, John W. Scott Health Sciences Library

Attachment 8

Department of Critical Care Medicine, Faculty of Medicine and Dentistry, University of Alberta

Department of Adult Critical Medicine, Edmonton Zone
Alberta Health Services



Attachment 9

Division of Critical Care 2016-2017 Budget Projections

Fiscal 2016-2017 (Updated March 31, 2016)

	Operating	Conference	CPE	CVICU	Donations	Foreign	Neuro	PGME PD	Research Office	Resident Fund	Total:
Revenue:											
Base Funding	108,263										108,263
Budget Planning											0
External Revenue		25,000									25,000
Faculty Funding	511,457										511,457
Fellows Revenue											0
Physician Contributions				88,000					103,000	19,000	210,000
Transfers In						70,000		15,000			85,000
Unrestricted Donations											0
Total Revenue:	619,720	25,000	0	88,000	0	70,000		15,000	103,000	19,000	939,720
Expenses:											
Salaries	619,740							15,000	54,041	1,000	689,781
Benefits									12,500		12,500
Fellows Stipends											0
Fellows Expenses											0
Other Stipends											0
Merit and Cola 15/16											0
Merit and Cola 16/17											0
Communications		172							1,000		1,172
Conference Travel						22,500					22,500
General Research Support				25,000							25,000
General Travel		21,470	10,000	5,000					3,200	24,480	64,150
Journal Clubs						10,000					10,000
Miscellaneous						4,651					4,651
PD/MEPA Travel						15,000					15,000
Rentals/Leasing		1,260									1,260
Residency Program						20,000					20,000
Simulation Exercises						25,000					25,000
Small Equipment						10,000					10,000
Start Up Funding for Researchers											0
Statistical/Database Services				25,000							25,000
Supplies and Services		2,554	5,000						6,723	23,345	37,622
Visiting Speakers			10,000			10,000					20,000
Total Expenses:	619,740	25,456	25,000	55,000	0	117,151	0	15,000	77,464	48,825	983,636
Net Revenue and Expense:	-20	-456	-25,000	33,000	0	-47,151	0	0	25,536	-29,825	-43,916
Flex/Beginning Balance:	0	22,340	37,035	259,421	8,435	117,151	1,800	0	341,501	38,075	825,758
Ending Balance:	-20	21,884	12,035	292,421	8,435	70,000	1,800	0	367,037	8,250	781,842

OUTLINE OF ISSUE

 Agenda Title: **University of Alberta Annual Report to the Government of Alberta**

Motion: THAT the Board of Governors, on the recommendation of the Board University Relations Committee, approve and adopt the *University of Alberta 2015-2016 Annual Report* and empower the Associate Vice-President (Audit & Analysis) to make any editorial changes to the *Report*, as needed, as long as the changes do not have the force of policy.

Item

Action Requested	<input checked="" type="checkbox"/> Approval <input type="checkbox"/> Recommendation <input type="checkbox"/> Discussion/Advice <input type="checkbox"/> Information
Proposed by	Phyllis Clark (Vice President, Finance and Administration)
Presenter	Mary Persson (Associate Vice President, Audit and Analysis)
Subject	Review of the University's Annual Report for 2015-16

Details

Responsibility	Finance and Administration
The Purpose of the Proposal is (please be specific)	<p>To provide the Committee with a copy of the draft Annual Report for information. The Annual Report is a requirement of the Government of Alberta. It is prepared in accordance with provincial guidelines and reports on the university's Comprehensive Institutional Plan and accomplishments during the period of April 1, 2015 to March 31, 2016.</p> <p>The provincial guidelines have been revised for this year, and the Annual Report format has been adjusted accordingly. The most significant guideline changes are:</p> <ul style="list-style-type: none"> • new requirements for reporting on international program delivery • increased requirements for reporting on information technology • a new format for reporting on performance measures linked to institutional goals. <p>The document is not yet formatted for publication and is provided for content review.</p>
The Impact of the Proposal is	The Annual Report satisfies reporting requirements for <i>Alberta Advanced Education</i> as outlined in the <i>Alberta Post-secondary Institution Annual Report Guideline</i> .
Replaces/Revises (eg, policies, resolutions)	
Timeline/Implementation Date	Deadline for submission to government is September 30, 2016.
Estimated Cost	
Sources of Funding	
Notes	To meet Advanced Education's submission deadline, the Annual Report must be approved in June by the Board of Governors. This necessitates that the Annual Report and Financial Statements move through the approval process concurrently.

Alignment/Compliance

Alignment with Guiding	Comprehensive Institutional Plan
------------------------	----------------------------------

<p>Documents</p> <p>Compliance with Legislation, Policy and/or Procedure Relevant to the Proposal (please <u>quote</u> legislation and include identifying section numbers)</p>	<p>1. Post-Secondary Learning Act (PSLA) Section 79 states:</p> <p><i>“(1) Each year a board must prepare and submit to the Minister a report that includes (a) the audited financial statements for the preceding fiscal year, and (b) any other information the Minister requires. (2) The annual report must be submitted to the Minister on or before the date specified by the Minister.”</i></p> <p>2. GFC Academic Planning Committee Terms of Reference</p> <p>3. <i>Mandate of the Committee: “The Academic Planning Committee (APC) is GFC’s senior committee dealing with academic, financial and planning issues. [...]</i></p> <p>15. a. <i>To recommend to the Board of Governors and/or GFC on any other matter deemed by APC to be within the purview of its general responsibility.”</i></p> <p>Board Audit Committee – Terms of Reference:</p> <p>3. <i>Mandate of the Committee “Except as provided in Section 4 hereof and in the Board’s General Committee Terms of Reference, the Committee shall monitor, evaluate and make decisions on behalf of the Board with respect to all auditing, financial reporting and internal control functions relating to the University. Without limiting the generality of the foregoing the Committee shall: [...]</i></p> <p><i>(s) review any published documents containing financial information derived from the financial statements and consider whether the information contained in these documents is consistent with the information contained in the financial statements.”</i></p> <p>Board University Relations Committee Terms of Reference/Sections 3 & 4:</p> <p>3. <i>Mandate of the Committee: The Committee promotes the advancement of the University’s Mission and Vision, aligns with the University Values, complies with the University Mandate and supports institution-wide plans, priorities and objectives by fulfilling its Committee Mandate in four Areas of Interest.</i></p> <p><i>Without limiting the generality of the foregoing the Committee shall:</i></p> <p><i>Recommend Board approval of proposals within the Committee Mandate, which realize the approved institution-wide plans, priorities, objectives or related policy goals;</i></p>
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Routing (Include meeting dates)

<p>Participation: (parties who have seen the proposal and in what capacity)</p> <ul style="list-style-type: none"> • Those who have been informed • Those who have been consulted • Those who are actively participating 	<p>Content for sections pertaining to specific portfolios (e.g. Capital Plan, Information Technology, Community Engagement, Internationalization) was reviewed with the respective Vice-Presidents and their staff.</p> <p>Staff in the office of the Provost and Vice-President (Academic) reviewed an earlier draft of the proposal and provided input on April 6.</p> <p>The report was reviewed by the office of the President, which provided approval on April 27.</p> <p>The report was presented to the President’s Executive Committee - Operational for review and approval on April 28.</p> <p>The Office of the Auditor General, or its agent, will review the document</p>
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Item No. 3gi

	once the financial statements are included and prior to submission to the government (Summer 2016).
Approval Route (Governance) (including meeting dates)	GFC Academic Planning Committee (May 11, 2016) – for discussion and information Board Audit Committee (May 30, 2016) – for discussion and information; approval of financial information Board University Relations Committee (June 2, 2016) – for recommendation to the Board Board of Governors (June 17, 2016) – for approval
Final Approver	Board of Governors

1. University of Alberta Annual Report – Draft dated June, 2016 (82 pages)

Prepared by: Mary Persson, Associate Vice-President (Audit and Analysis) mary.persson@ualberta.ca and Logan Mardhani-Bayne, Initiatives Manager, Audit and Analysis, lmardhan@ualberta.ca

Revised: 6/10/2016

DRAFT

JUNE 2016

ANNUAL REPORT 2015-16

TABLE OF CONTENTS

2015-16 BOARD OF GOVERNORS

ACCOUNTABILITY STATEMENT

MESSAGE FROM THE PRESIDENT

THE UNIVERSITY IN 2015-16

Summary Statistics

GOALS, PRIORITY INITIATIVES, EXPECTED OUTCOMES AND PERFORMANCE MEASURES

Faculty Renewal

Student Experience

Enrolment Plan

Teaching and Learning

Research Excellence

Community Engagement

Infrastructure

FINANCIAL HIGHLIGHTS

INTERNATIONALIZATION

INFORMATION TECHNOLOGY

CAPITAL PLAN

PUBLIC INTEREST DISCLOSURE ACTIVITY

MANAGEMENT'S RESPONSIBILITY FOR REPORTING

FINANCIAL STATEMENTS

LIST OF FIGURES AND TABLES

Table 1. Board of Governors as of March 31, 2016

Table 2. Summary statistics

Table 3. University of Alberta Enrolment Targets Measured in Full Load Equivalents (FLEs)

Table 4. International Shared Credentials (Dual/Joint Degree) Programs

Table 5. University of Alberta Programs Delivered Off-Shore

Table 6. Funded Projects in Progress

Table 7. Future Priority Projects

Figure 1. Summary of revenue and expenses

Figure 2. Revenue by source, 2015 and 2016 (budget and actual)

Figure 3. Expense by object

Figure 4. Expense by function

2015-16 BOARD OF GOVERNORS

Table 1. Board of Governors as of March 31, 2016

Member	Constituency
Michael Phair (Chair, appointed Feb. 2016)	General Public
Shenaz Jeraj (Vice-Chair)	General Public
Richard W. Wilson (Vice-Chair; acting Chair Sept. 2015 to Feb. 2016)	General Public
Faiza Billo	Non-Academic Staff Representative (NASA Appointee)
David Cooper	Academic Staff Representative (AASUA Appointee)
Jane Halford	University of Alberta Alumni Association
James Heelan	General Public
Barry James	University of Alberta Senate
LeRoy Johnson	General Public
Azhar Khan	Undergraduate Board of Governors Representative
Navneet Khinda	Students' Union
Steven LePoole	General Public
Colin More	Graduate Students' Association
Raymond Muzyka	General Public
Robert Parks	University of Alberta Alumni Association
Jeremy Richards	Academic Staff Representative (General Faculties Council)
Michael H. Ross	General Public
Nizar Somji	General Public
Robert H. Teskey	General Public
David Turpin	President
Ralph Young	Chancellor

ANNUAL REPORT 2015-16

ACCOUNTABILITY STATEMENT

The University of Alberta's Annual Report for the year ended March 31, 2016 was prepared under the Board's direction in accordance with the Fiscal Planning and Transparency Act and ministerial guidelines established pursuant to the Post-Secondary Learning Act. All material economic, environmental or fiscal implications of which we are aware have been considered in the preparation of this report.

Michael Phair
Chair, Board of Governors

MESSAGE FROM THE PRESIDENT

The past year at the University of Alberta has been marked by transition, reflection, engagement, and renewal. On July 1, 2015, I assumed the presidency of the university, following a decade of exceptional leadership from President-Emeritus Indira Samarasekera. Under her leadership, the University of Alberta grew in national and international prestige and influence, inspired by a bold, global vision outlined in the university's 2005-2015 strategic plan, *Dare to Discover*, and supported by an outstanding record of excellence in teaching, research, and service. As the success of *Dare to Discover* demonstrates, a university's strategic plan is the single most powerful tool for building a shared vision, enabling co-ordinated efforts, and maximizing finite resources.

Over the last six months, Provost and Vice-President (Academic) Steven Dew and I have engaged the faculty, staff, and students of the University of Alberta in a critical period of institutional strategic planning to develop a new set of goals to guide us throughout the coming decade. We recognize that the University of Alberta, like universities around the world, faces real and significant challenges. Globalization, demographic and generational shifts in student and faculty populations, technological change in every arena, and highly mobile human resources are some of the key factors shaping the evolution of universities and their core mission of research and teaching. Universities are also affected by major economic and political forces, such as recent global declines in oil and gas prices.

As we look to the future, we are convinced that the opportunities for positive change are far greater for the University of Alberta than for many other universities across Canada and the world. We sit at the centre of the province's Campus Alberta and Edmonton's City of Learners and are working with our post-secondary partners to provide Albertans with multiple integrated pathways to achieve their educational goals and aspirations. We are home to talented faculty with proven excellence in teaching and research, who are leading major research projects of local, national, and global significance. We continue to attract increasing amounts of external research funding and philanthropic support due to improved internal supports and systems. Most importantly, we are well supported by a provincial government committed to ensuring Albertans have access to post-secondary institutions of the highest quality.

The Government of Alberta's renewal of this support with the introduction of Bill 3 in June 2015 has provided the critical funding we need to put future institutional strategic plans in action, particularly in terms of attracting and hiring new faculty members which is always the first, essential step toward enriching student experience, increasing quality in teaching, learning, and research, as well as ensuring access for qualified students.

Looking to the future, we believe that we must and can diversify the U of A's student population, attracting students from all over Canada and from traditionally underserved populations including First Nations, Métis, and Inuit peoples. We aim to deepen our engagement with diverse partners to conduct and translate learning and research into evidence-based public policy, improved industrial practices, changed attitudes, and healthier, more compassionate communities. And, we

will continue to build multi-level, cross-sectoral national and international partnerships with high-ranking universities and institutions across Canada and the world.

Alberta's wealth in both people and natural resources, combined with its desire for social, cultural, economic, and environmental innovation and diversification, mean that in partnership with the province the University of Alberta is set to play a major role in the fundamental reshaping of this province—and in doing so, to build a stronger, better, more compassionate and prosperous Canada.

David H. Turpin, CM, PhD, LL.D, FRSC
President and Vice-Chancellor

THE UNIVERSITY IN 2015-16

The University of Alberta remains an essential partner in achieving a prosperous future for the province through the education and training of the next generation of dynamic scientists, business owners, social scientists, policy-makers, musicians, artists and volunteers. The U of A is now in the process of charting its course for the coming years with a revitalized Institutional Strategic Plan that will help our university meet the needs of the province and the nation in forging a thriving civic culture and a more productive and equitable society.

Alberta is facing challenging times, unlike anything we have seen in decades. With an unprecedented drop in the price of oil, it is becoming increasingly clear that diversifying the provincial economy—and investing in knowledge and innovation to help us get there—is the best strategy for avoiding the worst ramifications of the unpredictable boom-and-bust cycle. Future success will depend on Alberta's ability to continue to develop top talent, to attract and retain world-class leaders and visionaries across disciplines, to advance the province as a global economic leader, to foster an innovative and entrepreneurial society and to encourage a thriving creative culture.

Within a highly competitive global environment, the university this year continued to be recognized for research excellence, ranking among the top 100 universities in the world and fourth in Canada on the QS World University Rankings for 2015-16. A breakdown of those rankings by subject places the U of A among the world's top 50 in nursing (fourth), pharmacy and pharmacology (32), education (41), anthropology (42), mining engineering (44) and English language and literature (50). Over the last decade, U of A researchers have attracted total sponsored research funding in excess of \$4.6 billion (averaging more than \$400 million per year), putting the U of A fourth among Canada's research-intensive universities. In both 2009–2010 and 2012–2013 (the most recent years in which complete data are available), the U of A has ranked third in the U15 for sponsored research income per full-time teaching faculty – these figures reflect the U of A's status as a pre-eminent research university within Canada and internationally.

The post-secondary environment continues to undergo significant changes, however, and the past year saw the university continue to innovate in response to evolving demands. Teaching and learning practices have continued to shift away from traditional lecture-style presentations to a greater breadth of learner styles and more opportunities to co-create and engage with knowledge by focusing on emerging technologies to reach beyond classrooms and to enhance classroom activities. The university embraces innovation in both research and teaching – for example, the new Donadeo Innovation Centre for Engineering, which celebrated its grand opening in June 2015, brings students and faculty from all engineering disciplines together into an exceptional space for collaboration and learning. University-wide, the U of A continues to lead all Canadian institutions with 41 academic staff who have received national 3M Teaching Fellowships, Canada's highest award for undergraduate university teaching.

The university also strives to attend to its greater mission to transform society and culture by ensuring all content respects Indigeneity, equity and diversity. The university is focused on recruiting and welcoming a more diverse student body, and by reducing barriers to access for traditionally

under-represented groups, is contributing to addressing Alberta's historically low rate of participation in post-secondary education. To support these goals, and to enrich the overall student experience, the U of A has made major investments in residence capacity; projects underway in 2015-16 will, when completed, add over 900 residence spaces and position the U of A to welcome more students from across Canada and the world.

The university also recognizes the critical importance of a sustained and powerful response to the findings of the national Truth and Reconciliation Commission (TRC). This year saw the opening of Wahkohtowin Lodge on Augustana Campus, a venue that offers a welcoming space for students and community while honouring traditional territories providing opportunities for non-Indigenous students to learn more about Indigenous people and cultures.

More broadly, the university is committed to enhancing the communities in which it operates, as well as the communities with which it engages, both near and far. Through programs like Community Service-Learning (CSL), the U of A is providing students with opportunities to work and have a direct impact on the local community – last year, over 1500 students were registered in a course with a CSL component, working with over 180 different community partners. And through ventures like TEC Edmonton, named by UBI Global as the 16th best business incubator in the world in 2015, the U of A is helping to ensure that university research benefits the Alberta economy – TEC Edmonton's clients have generated more than \$470 million in the last five years.

To support its mission, the university is committed to fiscal sustainability, and has continued to pursue steps that include but are not limited to growing its endowment, generating new net revenues, increasing federal government support for the indirect costs of research and leveraging the establishment of its land trust.

In every aspect of its mandate, the U of A is a partner in social, cultural, and economic development, fostering and establishing the provincial, national, and international connections and understandings that support leading global enterprise and citizenship for Albertans. It's all part of meeting Alberta's changing needs and ensuring that the province remains a vital part of the national knowledge economy. The university remains steadfastly committed to partnership with the Government of Alberta to explore opportunities for growth, continued diversification of Alberta's economy and leadership in serving the province of Alberta.

Summary Statistics

Table 2. Summary statistics

	2014-15 Academic Year	2015-16 Academic Year
Tuition Summary		
Arts & Science	\$5,321	\$5,321
Law	\$10,221	\$10,221
Medicine	\$12,044	\$12,044
M.A., M.Sc., and PhD	\$3,662	\$3,662
Faculty & Staff (Full Time Equivalent – FTE)		
Faculty	2,047	2,081
Other Academic Staff	1,909	1,923
Support Staff (operating and trust-funded)	4,941	5,021
Research Revenue (thousands of dollars)	2014 – 15 fiscal year	2015 – 16 fiscal year
	\$469,713	\$441,229
Degrees & Diplomas Granted	2014 Calendar Year	2015 Calendar Year
Total	8,864	8,833
Undergraduate	6,813	6,784
Graduate	2,051	2,049

Notes:

Tuition figures are meant as examples. Complete tuition information can be found at

<http://www.registrarsoffice.ualberta.ca/Costs-Tuition-Fees.aspx>.

Staff data is FTE as of October 1 of the reported year.

Other academic staff includes Contract Academic Staff, Teaching, Research Academic Staff, Faculty Service Officers, Librarians and Administrative Professional Officers, Contingent Faculty Service Officer and Other Academic and Temporary Admin Professionals.

ANNUAL REPORT 2015-16

GOALS, INITIATIVES, EXPECTED OUTCOMES AND PERFORMANCE MEASURES

The 2015-16 Annual Report is transitional in nature as the University of Alberta is in the midst of an institutional strategic planning process, the aim of which is to develop a plan that reflects common values and a collective vision of what the university aspires to be. Together, the university community is establishing new goals and strategies that will support the university's vision and provide direction that both responds to and takes advantage of changing external and internal environments. In the years ahead, the university will look to this strategic plan to guide all institutional academic and administrative priority-setting, decision-making and governance. As always, the principles of access and quality resonate throughout the university's activities.

The university is focused on six key priorities as outlined in the transitional 2016 Comprehensive Institutional Plan (CIP):

- Faculty renewal
- Student experience
- Teaching and learning
- Research excellence
- Community engagement
- Infrastructure

In the CIP, the university has identified priority initiatives, expected outcomes and performance measures associated with each of these goals.

To reflect current institutional priorities, this year's Annual Report is organized around these goals and performance measures. Since these goals were defined during the past year, the measures provided below report the current state and trends related to these priorities, rather than progress toward achieving priority initiatives and expected outcomes. Next year, the U of A will be in a position to report on progress made towards achieving the goals outlined in the strategic planning process.

FACULTY RENEWAL

As noted in the 2016 CIP, there is a need to address the low number of assistant professors. These new professors play a critical role in the academy by bringing with them vibrant perspectives and contributing to the university's teaching and innovative research capacity. This deficit has been created by reduced hiring after a series of challenges within the university's base operating budget. Identifying, recruiting and supporting the next generation of faculty is critical. Success will be influenced by social, intellectual and physical supports such as social forums and gathering places, critical masses of scholars to support the development of strong ideas and new and modernized infrastructure including spaces, labs and classrooms.

HIGHLIGHTS

- The Faculty of Law is adding to its roster of award-winning scholars and teachers with three new Assistant Professor appointments who will come on board in 2016 and 2017: Anna Lund, who currently holds a \$100,000 postdoctoral fellowship at the U of A; Cameron Jeffries, a former Fulbright Scholar who works on environmental and resource law; and Malcolm Lavoie, who clerked at the Supreme Court of Canada and studies property law and private law theory.
- Madeline Toubiana and Tim Hanningan joined the School of Business this year. Toubiana works on entrepreneurship and taught Social Entrepreneurship during her first year at the U of A, while Hanningan uses big data and his background in computing science to study social cognition in markets.
- Award-winning chemist Vladimir Michaelis joined the Department of Chemistry in 2016, attracted by the U of A's reputation and its first-class research facilities. His research group's work includes studies to improve the structural properties of materials used for medical applications, like dental filling composites and materials used in bone replacements.

Performance Measure (PM) 1: Proportion of faculty holding the rank of assistant professor	Prior Year's Results			Last Actual	Target
	2012-13	2013-14	2014-15	2015-16	2025
	23%	19%	17%	17%	21%

Source: Institutional Data Warehouse as of January 7, 2016.

Notes: Data are as of October 1 of the reported year. Proportion is based on professors in teaching faculties.

HIGHLIGHTS

- David Turpin was installed at the U of A's 13th president at a ceremony Nov. 16. During the celebration, Turpin announced the U of A's intention to build the Maskwa House of Learning on North Campus to create a culturally relevant and inclusive environment for Indigenous students. He also announced that, beginning in September, every first-year student accepted to the U of A will be guaranteed a spot in residence. Studies show that living in residence leads to higher levels of academic success, retention and participation in campus life.
- Dr. Kim Tallbear joined the Faculty of Native Studies in fall of 2015. She is an award-winning researcher who studies the implications of genetics research for indigenous peoples, and how indigenous priorities can influence genetic science. She joined the U of A from the University of Texas and is already a leading figure in her field.

PM2: Number of indigenous faculty members	Prior Year's Results			Last Actual	Target
	2011-12	2012-13	2013-14	2014-15	2025
	16	16	19	17	26

Source: Employment Equity Census Questionnaire, University of Alberta.

Notes: Data are as of December 31 of the reported year. Excludes contingent faculty.

HIGHLIGHTS

- Research by Assistant Professor Stephanie Montesanti showed the connection between interpersonal violence and social factors like education, income, housing and gender, suggesting that the best strategies for preventing violence might be those that develop safe housing, personal skills and employment assistance.
- Debra Davidson, a specialist in climate change impacts and adaptation, addressed influential participants to the 2015 Paris Climate Conference, making the case that climate-smart agriculture shouldn't be solely about what farmers can do to create more tolerant crops – it should focus as much on other actors in the agri-food system, including the retailers, policy-makers and consumers.
- U of A law professor Joanna Harrington received a prestigious Fulbright Canada Visiting Research Chair to study how countries should use their domestic laws to deliver on their obligations under international law.

PM3: Proportion of faculty who are female	Prior Year's Results			Last Actual	Target
	2012-13	2013-14	2014-15	2015-16	2025
	35%	35%	35%	36%	43%

Source: Institutional Data Warehouse as of January 7, 2016.

Notes: Data are as of October 1 of the reported year. Proportion is based on professors of all ranks in teaching faculties.

HIGHLIGHTS

- World-renowned food researcher Feral Temelli is leading a UAlberta team in a new partnership with France's Innovation Fluides Supercritiques, building collaborations and industry connections to advance the application of "supercritical fluids" – substances with properties similar to both liquids and gases – for crop processing and oilsands uses.
- Education psychology professor J.P. Das was named to the Order of Canada for his internationally recognized work in cognitive psychology, notably in the development of a new theory of intelligence.
- Mathematical biologist Mark Lewis and engineering professor Zhenghe Xu were elected as fellows of the Royal Society of Canada, Canada's oldest and most prestigious scholarly institute.

PM4: Proportion of faculty members from visible minority groups	Prior Year's Results			Last Actual	Target
	2011-12	2012-13	2013-14	2014-15	2025
	15%	15%	16%	17%	20%

Source: Employment Equity Census Questionnaire, University of Alberta.

Notes: Data are as of December 31 of the reported year. Excludes contingent faculty.

STUDENT EXPERIENCE

To attract, retain, and support its diverse body of students—local, rural, national, international and under-represented—the U of A must provide high quality, contemporary and innovative learning experiences, including experiential learning. The university must foster a welcoming and supportive environment respectful of Indigeneity, equity and diversity. To succeed, students must understand they are essential members of the university community and must see the university as a necessary and relevant stepping stone towards engagement with the rest of the world. Experiential learning (e.g. research opportunities, co-op and internship programs or international experiences) positions students strongly for future career opportunities, and students require facilities that allow them to feel comfortable and that promote engagement with people, ideas and learning supports. As such, the university is focused on recruiting a more diverse student body and creating programs and spaces such as the Maskwa House of Learning on North Campus, as well as refreshed science labs at Augustana Campus, that support and welcome Indigenous and rural students to pursue advanced degrees.

HIGHLIGHTS

- The U of A continues to lead the country in Academic All- Canadians—student-athletes who have maintained an average of 80 per cent or better—thanks to 142 more this year. The U of A’s all-time total increases to 2,461, the most in Canada. For All-Canadian Sarah Farley, a co-op student in the third year of the civil and environmental engineering program, nothing could be better than a schedule that blends academics and athletics – she managed to blend a co-op placement at the Diavik Diamond Mine in the Northwest Territories with a spot on the Pandas rugby team.
- In 2015, the Golden Bears hockey team repeated as Canadian Interuniversity Sport (CIS) champions and in doing so secured the program’s 15th national title. As well, the Pandas and Bears curlers swept away all comers, with their first and second national titles, respectively.

PM1: Proportion of Alberta undergraduate students from outside of Edmonton	Prior Year's Results			Last Actual	Target
	2012-13	2013-14	2014-15	2015-16	2016-17
	32%	32%	32%	31%	31%

Source: Institutional Data Warehouse as of January 7, 2016.

Notes: Proportion based on students registered on December 1 of the reported year with an original hometown census province of Alberta and a hometown census division that is not Edmonton. Post-graduate medical education students are excluded.

HIGHLIGHTS

- The Indira V. Samarasekera Global Student Leadership Fund, established with a \$250,000 donation from the former U of A president, will increase international learning opportunities for students.
- Neesha Desai and Kit Chen, PhD students in computing science, are destined for greatness. The two are reigning supreme among student entrepreneurs as the inaugural winners of the Ross and Verna Tate Science Entrepreneurship Award for their student startup Alieo Games, an educational technology company helping students with creative writing through online games.

PM2: Distribution of international students	Source Country of International Students	Prior Year's Results			Last Actual
		2012-13	2013-14	2014-15	2015-16
	Graduate				
	China	789	869	967	920
	Iran	501	468	451	414
	India	251	268	265	248
	USA	166	160	149	134
	Bangladesh	113	132	121	100
	Saudi Arabia	62	62	76	69
	Brazil	42	41	51	64
	Pakistan	103	76	64	56
	Nigeria	44	57	65	55
	Egypt	76	73	71	54
	Mexico	77	59	41	43
	Colombia	50	46	40	36
	Germany	52	47	47	33
	Undergraduate				
	China	2,255	2,667	3,001	3,120
	South Korea	167	153	136	123
	Nigeria	50	69	90	99
	India	73	86	94	98
	Hong Kong	77	82	77	65
	Japan	61	63	60	56
	Brazil	49	61	125	51
	Malaysia	86	74	56	33

Source: Institutional Data Warehouse as of January 18, 2016.

Notes: Includes countries having had 50 or more students indicated as their country of citizenship. Includes students with an original national status of international. Reflects students registered as of December 1 of the reported year. Post-graduate medical education students are excluded.

HIGHLIGHTS

- With the support of the Students' Union and Grad Students' Association, the university rescinded four of its mandatory non-instructional fees and replaced them with two restructured fees, the

Student Health & Wellness Fee and Student Academic Support Fee. The new fees are more closely aligned with the specific services being delivered, enhancing transparency and the ability for student input. These changes are revenue neutral for the university.

- An undergraduate paleontology student, Aaron van der Reest, discovered an *Ornithomimus* dinosaur with preserved tail feathers and soft tissue. The finding sheds light on the convergent evolution of these dinosaurs with ostriches and emus, while tightening the linkages between dinosaurs and modern birds.
- The Carl Amrhein Aboriginal Student Fund, which has already raised more than \$500,000, was established earlier this year to provide more scholarships, bursaries and awards for Aboriginal students.

PM3: Proportion of indigenous undergraduate students	Prior Year's Results			Last Actual	Target
	2012-13	2013-14	2014-15	2015-16	2024-25
	3.5%	3.4%	3.6%	3.6%	6.0%

Source: Institutional Data Warehouse as of February 2, 2016.

Notes: Includes students who have self-identified as Indigenous. Includes students who have an original hometown province of Alberta. Data are as of December 1 of the reported year. Post-graduate medical education students are excluded

HIGHLIGHTS

- The university is already implementing recommendations from *The Review of the University of Alberta's Response to Sexual Assault* released in February 2016, which showed that the university has many robust supports and services to help survivors and to ensure a safe environment. The Office of the Dean of Students will lead a new working committee to implement the report's recommendations for improvement.

PM4. Use of Campus Wellness Services	Unit	Measure	2012-13	2013-14	2014-15
	University Health Centre	Total Visits	49,540	48,953	47,595
	Counseling and Clinical Services	Direct Treatment	10,025	12,189	12,474
	Pharmacy	Prescriptions Filled	35,456	35,420	34,906
	Sexual Assault Centre	Support Sessions	206	217	255
	Sexual Assault Centre	Psychological Services	n/a	287	430

Source: Dean of Students.

Notes: Based on the fiscal year, 1 April to 31 March.

Total visits: Counts visits, not individuals. Includes students, staff, faculty, and immediate family of students.

Direct treatment services are only for students. Direct treatment includes: individual psychology and psychiatric appointments, group therapy sessions, and initial consultations.

Prescriptions filled is the industry standard metric for general pharmacy service level.

Support sessions includes both drop-in and appointments, but does not include in-house psychologist (captured separately.)

Psychological services captures the number of sessions of support delivered by the in-house psychologist.

HIGHLIGHTS

- Three U of A students received Rhodes Scholarships—widely considered the world’s most prestigious scholarship—in the same year. The award allows Billy-Ray Belcourt, a comparative literature student and the first-ever First Nations recipient; Carley-Jane Stanton, a student in ALES; and Zia Saleh, a medical student, to pursue post-graduate studies at Oxford next year.
- A survey by the U of A Career Centre revealed several benefits to earning a degree, including lower rates of unemployment than national levels and rising salaries over the long term. The survey also showed that, five years after graduating, Fully 82 per cent of alumni reported that a degree was required for their job.

PM5: Proportion of graduates satisfied with their educational experience	Prior Year's Results			Last Actual	Target
	2005-06 Graduates in 2008	2007-08 Graduates in 2010	2009-10 Graduates in 2012	2011-12 Graduates in 2014	2018
	89%	90%	89%	90%	90%

Source: Alberta Enterprise and Advanced Education: Alberta Graduate Outcomes Survey.

Notes: Data are the most recent available

Enrolment Plan

The strength of the University of Alberta is founded on the quality and diversity of its people, programming, research, and resources. The U of A remains committed to attracting outstanding undergraduate and graduate students, post-doctoral fellows, and professors from Alberta, across Canada, and abroad. Our academy represents Canada's and Alberta's cultural diversity and is an inclusive community that values its founding Indigenous people, minorities and rural and northern communities. Along with an exceptional and highly skilled technical and professional staff, these individuals create an integrated environment of teaching, learning, research and creative activities. They enable the breadth and quality that characterizes the university's public and private partnerships in Alberta, its participation in national consortia and initiatives and its collaborations with top-tier international institutions and agencies.

Access to programs at the U of A evolves in response to student demand, workforce needs, and new fiscal resources or constraints. In 2015-16, total enrollment across undergraduate and graduate programs was 34,643 Full-Load Equivalents (FLE), exceeding the enrolment plan target of 33,129 FLE. This difference is accounted for by higher-than-expected graduate enrolments at both the Master's and doctoral levels. International students made up 19.29% of total enrolments.

Table 3. University of Alberta Enrolment Targets Measured in Full Load Equivalents (FLEs)¹

2014-15								
	Target				Actuals			
	Undergrad (UG)	Graduate Master's	Graduate Doctoral	Total	Undergrad	Graduate Master's	Graduate Doctoral	Total
ALES	1,227	225	215	1,667	1,238	425	335	1,998
Arts	4,871	393	449	5,713	4,804	454	562	5,820
Augustana	899	-	-	899	927	-	-	927
Business	1,786	234	60	2,080	1,771	448	66	2,285
Education	2,551	450	308	3,309	2,422	445	367	3,234
Engineering*	4,020	708	612	5,340	4,225	849	969	6,043
Extension	-	30	-	30	-	34	-	34
Law	525	4	8	537	525	5	9	539
Medicine & Dentistry**	1,050	259	279	1,588	1,055	384	440	1,879
Native Studies	130	8	-	138	117	12	-	129
Nursing**	1,401	84	84	1,569	1,623	64	81	1,768
Pharmacy	467	15	31	513	479	28	40	547
Physical Education & Recreation	800	55	56	911	827	84	66	977
Rehabilitation Medicine*	-	835	32	867	2	819	51	872
Saint-Jean***	529	28	-	557	521	20	-	541
School of Public Health	-	147	30	177	-	222	61	283
Science	5,488	517	563	6,568	5,549	722	813	7,084
Open Studies	543	-	-	543	543	-	-	543
Total FLEs	26,287	3,992	2,727	33,006	26,628	5,015	3,860	35,503
* The targets for Engineering UG and Rehabilitation Medicine were changed effective 2014-15 to include newly funded enhanced enrolment FLEs								
** Medicine and Nursing UG targets include FLEs funded by one-time Health Funding that will expire in 2015-16, therefore their targets decrease in 2016-17								
*** Saint-Jean Undergraduate target and actual numbers include Career Preparation students enrolled in Centre collégial de l'Alberta (CCA)								
Note: The International enrolment numbers provided here are also included in the overall enrolment numbers provided above.								
	UG	Grad	Total	UG	Grad	Total		
<i>International Enrolment</i>	3,943	2,016	5,959	3,584	3,500	7,084		
	15%	30%	18%	13.46%	39.44%	19.95%		

¹ Excludes Postgraduate Medical Education/Dentistry Education (PGME/DE) students. The PGME/DE headcount for 2014-15 was 972 (994 FLE); headcount for 2015-16 was 976.

Table 3. (continued)

2015-16								
	Target			Estimated Actuals				
	Undergrad	Graduate Master's	Graduate Doctoral	Total	Undergrad	Graduate Master's	Graduate Doctoral	Total
ALES	1,227	225	215	1,667	1,224	396	326	1,946
Arts	4,871	393	449	5,713	4,760	402	513	5,675
Augustana	899	-	-	899	895	-	-	895
Business	1,786	234	60	2,080	1,777	452	58	2,287
Education	2,551	409	349	3,309	2,518	455	319	3,292
Engineering*	4,180	708	612	5,500	4,180	751	924	5,855
Extension	-	30	-	30	-	34	-	34
Law	525	4	8	537	549	6	9	564
Medicine & Dentistry**	1,045	259	279	1,583	1,075	359	443	1,877
Native Studies	130	8	-	138	112	18	-	130
Nursing**	1,384	84	84	1,552	1,478	54	76	1,608
Pharmacy	467	15	31	513	482	30	40	552
Physical Education & Recreation	800	55	56	911	808	78	68	954
Rehabilitation Medicine*	-	835	32	867	3	868	52	923
Saint-Jean***	544	28	-	572	515	20	-	535
School of Public Health		147	30	177	-	190	68	258
Science	5,488	517	563	6,568	5,295	683	712	6,690
Open Studies	543	-	-	543	568	10	-	568
Total FLEs	26,440	3,951	2,768	33,159	26,239	4,796	3,608	34,643
* The targets for Engineering UG and Rehabilitation Medicine were changed effective 2014-15 to include newly funded enhanced enrolment FLEs								
** Medicine and Nursing UG targets include FLEs funded by one-time Health Funding that will expire in 2015-16, therefore their targets decrease in 2016-17								
*** Saint-Jean Undergraduate target and actual numbers include Career Preparation students enrolled in CCA								
Note: The International enrolment numbers provided here are also included in the overall enrolment numbers provided above.								
	UG	Grad	Total	UG	Grad	Total		
<i>International Enrolment</i>	3,966	2,016	5,982	3,538	3,145	6,683		
	15%	30%	18%	13.48%	37.42%	19.29%		

Source: Office of the Provost

TEACHING AND LEARNING

This is a core activity of the university—supporting undergraduate and graduate students, researchers, and scholars, as well as continuing learners and accomplished members of professions who need to refresh their educations to advance their positions in industry or to advance industry itself. Teaching and learning practices have shifted away from traditional lecture-style presentations to embrace a greater breadth of learner styles and more opportunities to co-create and engage with knowledge, leveraging emerging technologies to reach beyond classrooms and to enhance classroom activities. The university endeavours to embrace these shifts and to better support professors and future professors who want to change the way they teach—to provide teaching supports and skill development and to provide better physical spaces and technological systems that permit innovative teaching, learning and assessment.

HIGHLIGHTS

- The U of A welcomed nearly 39,000 students back to school Sept. 1 to begin the school's 107th year of classes. Although about 68% of students call Alberta home, the U of A population includes almost 4,200 students from every province and three territories in Canada, and an international contingent from 146 countries.
- The Centre for Teaching and Learning, an on-campus resource that provides tools and resources to help teachers innovate and excel, offered dozens of workshops for faculty and students on such diverse topics as blended learning, student engagement and measuring learning outcomes.

PM1: Increased use of teaching supports by faculty and teaching assistants		Prior Year's Results		Last Actual
		2012	2013	2014
		Number of Registrations in Centre for Teaching and Learning Sessions, Workshops and Programs	549	1667

Source: Centre for Teaching and Learning, Annual Report 2014, page 16.

Notes: 2012 results do not include collaborations or partnership programming.

HIGHLIGHTS

- The university's Canadian Mountain Studies Initiative struck a partnership with Parks Canada to produce and promote the U of A's next massive open online course (MOOC): the world's first Mountain Studies MOOC, which will launch next fall.
- The \$300,000 Augustana Miquelon Lake Research Station and the area's unique topography will promote research in wildlife, ecosystems and sustainability to partners across the globe, enhance teaching and host partnerships to explore sustainability and rural community issues.
- The U of A and Western Sky Land Trust signed a conservation agreement that guarantees the U of A's 12,000-acre Mattheis Ranch will be conserved forever. The agreement provides \$3.8 million from Western Sky Land Trust to the university as compensation for future development. The funding—made possible through Alberta's Land Trust Grant program—will be used to help improve cow and calf production, study land reclamation techniques and learn more about grassland ecology.

PM2: Professional skill development in graduate students	Prior Year's Results			Last Actual	Target
	2011-12	2012-13	2013-14	2014-15	2016-17
Number of Graduate Students who Participated in Professional Practice	1320	1475	1800	1645	2000
Number of Teaching or Professional Practice Sessions	57	78	84	86	110

Source: Faculty of Graduate Studies and Research (FGSR) Statistics

Notes: Professional Practice refers to sessions that are related to career development, soft skill development, entrepreneurship, life skills, and workplace strategies. Examples of each of these sessions would include Resume Writing, Conflict Resolution, StartUp U, Time Management, and Working in a Team. Number of graduate students is based on an average number of participants per session.

RESEARCH EXCELLENCE

Research drives innovative developments leading to economic growth and prosperity in our society. As the leading research-intensive institution in Alberta, and one of the top five in Canada, the U of A has a particular responsibility to ensure that its people and the materials and resources they need—such as labs, IT infrastructure and supports, libraries and access to communities—are of the highest quality possible. The research world has shifted to team-based explorations and approaches to discovery that are more multidisciplinary in nature and globally relevant. The university competes nationally and internationally for the best researchers, as well as for the top funding sources to support research activities. To recruit exceptional researchers and to support them in producing the highest-calibre outcomes, ranging from fundamental knowledge creation to new applied technologies, and including the training of scholars and professionals, attention and resources must be devoted to research facilities and defining (and then pursuing) research excellence in a shifting context. This requires intellectual and physical supports including new hires, research assistants, infrastructure and specifically targeted development and investment in partnerships with communities, industries, and other countries.

The university offers research and doctoral programs across seven thematic areas: humanities and fine arts, social structure and systems, science and technology, energy, environment, food and bio-resources and health and wellness. This full spectrum of inquiry positions the U of A's academy and its graduates to make the comprehensive contributions towards scientific, social, and cultural innovations needed to support the goals Alberta has set for itself: effective resource and environmental management, a broadened economic base and resilient and healthy individuals and communities.

Over 200 graduate programs, attended by 7,572 graduate students, and nearly 600 post-doctoral trainees are all intricately entwined with the U of A's learning, teaching, and discovery mandate. Individuals educated to the PhD level enable large-scale, visionary, and sometimes risky research agendas. The Faculty of Graduate Studies and Research (FGSR) Professional Development program advances research and develops professional skills and qualities sought by employers, making the U of A's graduate students competitive in the global market for traditional educational positions (e.g., professors), industry positions (e.g., industrial research and development) and within communities (e.g., government officials).

Global Engagement

Global engagement is vital to high-quality research efforts. The development of multinational or global research networks expands institutional capacity to address complex global issues in a more robust and efficient way. Creative solutions to complex problems can be readily shared across communities and nations through collaborations with other academic organizations, businesses and industry, non-profits and government agencies. In 2015-16, the U of A has remained committed to sustaining and advancing strategic international partnerships of direct benefit to Alberta that will:

- foster the global exchange of talent and expertise
- increase exposure to a diversity of thinking on global issues
- enhance access to a wider variety of research infrastructure, knowledge, resources, state-of-the-art equipment, and advanced techniques

Significant international research collaborations also emerge and are sustained at the unit, program, and faculty level. Key examples have been identified below.

HIGHLIGHTS

- Famed virologist Lorne Tyrrell was named the winner of the 2015 Killam Prize for Health Sciences. Just five Killam prizes of \$100,000 are awarded annually by the Canada Council for the Arts' Killam Program, in support of scholars of exceptional ability engaged in research projects of outstanding merit. In 1988, Tyrrell, now the director of the Li Ka Shing Institute of Virology, along with chemistry researcher Morris Robins, developed the first antiviral agent for hepatitis B, which led to one of the largest industry collaborations (Glaxo Canada) with a Canadian university, resulting in the licensing of lamivudine.
- In early 2016, cell biology researcher Tom Hobman became one of the world's first researchers to begin trying to combat the Zika virus, a mosquito-borne virus linked to an exponential increase in reported cases of microcephaly, an often fatal congenital condition associated with incomplete brain development in newborns.

HIGHLIGHTS

- In a world first, researchers in the Computer Poker Research Group essentially solved heads-up limit Texas hold 'em poker with their program, called Cepheus. The discovery builds on the U of A's renown in the application of AI to game-playing problems, highlighted when U of A researchers solved checkers in 2007.
- Research on new antennas and front-end circuits for 5G networks is underway at the U of A. Our researchers are also working on ways to wirelessly power remote sensors and develop a new type of 3-D printer capable of manufacturing electronic devices, sensors and antennas in one integrated process.
- U of A researchers dominated this year's ASTech awards. Todd Lowary won the Outstanding Leadership in Science award for his renown in synthetic carbohydrate chemistry; Arturo Sanchez-Azofeifa won the award for Outstanding Achievement in Environmental Technology and Innovation for his team's use of ground-based sensors to learn more about the environment in real time; chemical physicist Robert Wolkow received the Outstanding Leadership in Alberta Technology award for his breakthroughs in nanotechnology; Jonathan Curtis and the Lipid Chemistry Group won the Applied Technology award for their work using lipids to make materials like plastics; and the Breton Plots Management Team won the Innovation in Agricultural Science award.
- David Segó, tailings ponds remediation researcher in engineering, played a key role on the team that won the Natural Sciences, Engineering and Research Council's Synergy Award for Innovation. The team discovered ways to protect groundwater from toxic diamond-mining waste.

HIGHLIGHTS

- Early-stage research by neuroscience PhD student Shraddha Sapkota, along with faculty in psychology and chemistry, shows that body fluids like saliva may help us understand the potential of developing Alzheimer's, even among people not yet exhibiting related memory problems. The saliva technique shows promise for predicting and tracking cognitive decline and is a safe, easy, non-invasive and affordable diagnostic tool.
- Crop researcher Elzbieta Mietkiewska isolated genes from pomegranates and was able to incorporate them into high-value oilseed crops such as canola and flax. This process adds punicic acid, a polyunsaturated fatty acid that has been found to help slow the growth of cancer cells.
- Thanks to the School of Public Health, Alberta has the clearest picture yet of the prevalence of addiction. Researchers found nearly one in 10 men and one in 20 women in the general Alberta population struggles with alcohol misuse, and one in five Albertans deals with addictions that range from substance use and gambling to behavioural addictions.

HIGHLIGHTS

- A vaccination research team led by Lorne Babiuk, professor and Vice President (Research), was named as part of a \$5M federal grant to test a heat-stable combination vaccine created to protect livestock against up to five deadly diseases that cause losses of up to 25 per cent in Africa's livestock sector.
- Using potato peels and culls, a U of A research team led by Marleny Aranda Saldaña created a starch-based bioactive film that is eco-friendly and rich in antioxidants, with applications for the food packaging and cosmetic industries.
- A new study led by pediatrics professor Anita Kozyrskyj reveals infants with a fewer number of different bacteria in their guts at three months old are more likely to become sensitized to foods such as milk, eggs or peanuts by the time they are one year old.

PM2: Prestigious national and international awards for faculty ²	Faculty Awards, U15 Relative Position	Last Actual (2010-2014)
	University of Alberta	4

Source: Award data from individual awarding organizations.

Notes: Includes 3M Teaching Fellows, Fulbright Scholars, Killam Research Fellows and Prizes, Royal Society of Canada Fellows and College of New Scholars, National Academies of Engineering and Sciences, Sloan Research Fellowship, Trudeau Fellows, Canadian Academy of Health Sciences Fellows, Falling Walls Young Innovator of the Year, SSHRC Impact Awards and NSERC Prizes awarded during the 5-year period 2010 to 2014. In the case of institutions sharing awards, each was given credit for having received the award.

PM2: Prestigious national and international awards for graduate students	Number of Tri-Council Scholarship Awards, U15 Relative Position	Prior Year's Results			Last Actual	Target
		2011	2012	2013	2014	2017
	Social Sciences and Humanities Research Council (SSHRC)	8	8	8	8	8
	Canadian Institutes of Health Research (CIHR)	N/A	N/A	N/A	7	7
	Natural Sciences and Engineering Research Council (NSERC)	4	4	5	5	5

Source: U15 Data Exchange, summarized Tri-Council data.

Notes: Report is by competition year. Includes scholarship awards for masters and doctoral students. CIHR data only available for 2014.

PM2: Prestigious national and international awards for post-doctoral fellows	Number of Banting Postdoctoral Fellowships, U15 Relative Position	Last Actual	Target
		2011-2014	2011-2015
	Social Sciences and Humanities Research Council (SSHRC)	6	6
	Canadian Institutes of Health Research (CIHR)	6	6
	Natural Sciences and Engineering Research Council (NSERC)	7	7

Sources: U15 Data Exchange, summarized Tri-Council data for SSHRC and NSERC as of Feb 2, 2016. CIHR Funding Decisions Database for CIHR data, as of Feb 24, 2016.

Notes: Report is by competition year.

² Note: PM1 as identified in the 2016 CIP, "Hiring and funding in research priority areas," remains under development and is not reported in this document.

HIGHLIGHTS

- 2015 was a good year for U of A paleontologists. Discoveries included rolling back the clock on snake evolution by nearly 70M years; a new species of a long-necked dinosaur from a skeleton found in China that lived 160M years ago; the oldest known crown-group true higher crab, which lived 110M years ago in the forest of Colombia; and evidence of dimorphism observed in a pair of oviraptors preserved side by side in Mongolia.
- An international team of researchers, led by rehabilitation medicine professor Greg Kawchuk, used MRI video to determine that the distinctive popping sound heard when cracking knuckles is caused by the rapid creation of a gas-filled cavity within the synovial fluid, a super-slippery substance that lubricates the joints.
- U of A researchers have developed a new “under the skin” islet transplantation technique—an evolution of the U of A’s Edmonton Protocol developed in the late ‘90s that temporarily enables severe Type 1 diabetics to stop taking insulin. The new technique offers less risk and greater patient benefit, and holds potential for regenerative medicine beyond diabetes.

HIGHLIGHTS

- The federal government named the U of A home to the \$27 million Canadian Glycomics Network (GlycoNet), one of four new Networks of Centres of Excellence. GlycoNet is a national network of industry and academic partners, featuring 60 researchers at 22 institutions. The U of A has a strong history in cutting-edge carbohydrate research, offering potential treatments for conditions ranging from genetic diseases to influenza.
- U of A cattle researchers are playing a leading role in a project that received \$10.3 million to assemble the world’s largest database of cattle characteristics in an effort to increase feed efficiency and reduce methane emissions in dairy cattle. The money comes on the heels of a \$9.8 million grant from government and industry to U of A swine researchers to develop genomics tools to manage the nutritional content of pig feed to ensure healthier pigs.
- The U of A and the Mexican government signed an MOU that will act as the blueprint for a \$16 million partnership that promises to help Mexico improve its burgeoning hydrocarbon sector. This agreement comes amidst energy reforms that have seen Mexico open its oil and gas sector after 75 years of state ownership.

PM3: Research consortia and partnerships formed with top-tier international partners	
Specific initiatives:	
<ul style="list-style-type: none"> • Germany: \$3 million per year for five years to continue collaboration with the Helmholtz Association and the numerous partnerships this collaboration fosters. • China: \$3 million per year for five years to foster linkages with Tsinghua University, one of the world's leading universities with particular expertise in the areas of energy and environment. • France: \$1 million per year for five years to foster the France-Alberta Science and Technology Initiative (FAST). 	
Activities related to the university's priority countries:	
<i>China</i>	<ul style="list-style-type: none"> • Tsinghua University - SCENEREI (Sino-Canada Energy and Environment Research and Education Initiative): Funding was secured from the provincial government and leveraged through the faculties of engineering, science, and business to support 24 joint research projects with collaborators in China until January 31, 2017. • MOST (Ministry of Science and Technology): A proposal to Alberta Innovation and Advanced Education for an additional \$500,000 grant to pursue activities with China under the Joint Research Labs program was approved, and the U of A was awarded the funding in March 2015. Some joint China-U of A projects have been identified and formal proposals for funding are pending.
<i>Germany</i>	<ul style="list-style-type: none"> • Helmholtz-Alberta Initiative (HAI): A five-year extension of the memorandum of understanding in HAI between the Helmholtz Association and the U of A was signed in September 2014. Areas of research focus in HAI include: <ul style="list-style-type: none"> ○ Energy and Environment ○ Infectious Diseases ○ Neurodegenerative Diseases ○ Diabetes • Fraunhofer Society: A Memorandum of Agreement was established between the Fraunhofer Institute for Process Engineering and Packaging and the Fraunhofer Institute for Environmental, Safety, and Energy Technology in partnership with the U of A. • Leibniz Association: Initiatives between the Leibniz Association and the U of A in the areas of digital humanities (e.g., Science 2.0 and Citizen Sciences) and digital education are under development.
Activities related to other countries:	
<i>France</i>	<ul style="list-style-type: none"> • FAST! (France-Alberta Science and Technology Initiative): The Office of the Vice President (Research), through the HAI team, worked closely with University of Alberta International and the French Embassy to facilitate a panel discussion on campus Oct. 29, 2015, with a focus on climate change and energy transition. The event was part of a series of French Ameri-Can Climate TalkS (FACTS) across Canada and the United States in preparation for the UN-led COP21 climate conference that took place in Paris in December 2015.
<i>Mexico</i>	<ul style="list-style-type: none"> • SENER (Mexican Ministry of Energy): Provost and Vice-president (Academic) Steven Dew signed a letter of intent Dec. 4, 2015, with SENER. The Agreement focuses on facilitating work on hydrocarbons, and it is anticipated that this new collaboration will stimulate the exchange of graduate students and professors working on topics of mutual interest, and possibly lead to joint certificate or master's programs.
<i>India</i>	<ul style="list-style-type: none"> • IC-IMPACTS (India-Canada Centre for Innovative Multidisciplinary Partnerships to Accelerate Community Transformation and Sustainability): Now in its third year of operation, IC-IMPACTS continues to focus on change for local communities in both India and Canada. It currently has 158 researchers involved, is training 327 highly qualified personnel and has funded 29 research projects. The IC-IMPACTS innovative Summer Institute is an annual program that equips Canadian and Indian graduate students with skills in research, innovation, commercialization, and leadership. The 2016 Summer Institute will be held in Edmonton from May 29 to June 3, and will focus on nanotechnology in the areas of infrastructure, water, and health.
Other:	
<ul style="list-style-type: none"> • Worldwide Universities Network (WUN): The U of A joined this network of 18 research-intensive institutions across Europe, North America, Africa, Asia, and Oceania in 2008. WUN creates opportunities for international collaboration and gives the U of A an international voice in terms of its research strengths and contributions. 	

Source: The Office of the Vice President (Research)

HIGHLIGHTS

- Paleontologists have discovered a new species of iguana in Southern Brazil that dates back 80M years and suggests ancient iguanas roamed throughout the single landmass of Pangaea before its final breakup.
- A team of U of A researchers developed a natural supplement from the yolks of chicken eggs containing antibodies that prevent the absorption of gliadin, a component of gluten that triggers the autoimmune response in those with celiac disease. The product is being tested for its effect on treating the symptoms of celiac disease to offer more dietary freedom and a better quality of life for people with both celiac disease and gluten intolerance.
- A U of A psychologist worked out a mathematical theory of why certain nonsensical Dr. Seuss words like sneedle are funny. He gave his subjects a series of non-words and discovered the perception of humour was quantifiable: the weirder the word, the funnier its rating.

PM4: Usage of the Grant Assist program (number of reviews)	Prior Year's Results			Last Actual
	2012-2013	2013-2014	2014-2015	2015-2016
Health Sciences	269	298	342	249
Natural Sciences and Engineering	N/A	N/A	19	82
Social Sciences and Humanities	N/A	89	84	109

Source: Grant Assist Program Updates

Notes: Data are cumulative since inception. Natural Sciences and Engineering inception July 2013, includes mentorship to applicants and internal peer reviews as of Jan 2016. Health Sciences inception June 2010, includes peer reviews as of January 2016. Social Sciences and Humanities inception March 2013, includes internal peer reviews as of end of fiscal year.

Each Grant Assist program differs in focus and support resources (e.g. mentorships and workshops in addition to peer reviews reported above). Total use across all resources for 2015-16 is summarized as follows: HS 1,487 resource usages; NSE, 575 resource usages; SSH, 173 resource usages.

HIGHLIGHTS

- U of A forest ecologist Ellen Macdonald found that the nitrogen and sulphur emissions from oil-sands operations are having a positive effect on forest vegetation. Researchers found an increased number of species in the understory vegetation, an increased amount of cover, a high abundance of the common lichens and tree diameter growth up to 30 per cent greater than it had been prior to the oilsands development.
- The U of A will soon house Canada's ice core collection—some dating as far back as 800,000 years. A rich source of information on past climate change, ancient microbes, pollutants and extreme weather events, the cores will play a key role in climate change science at the U of A, nationally and globally.
- A diamond research team found that ancient seawater was involved in forming diamonds in Canada's North. Last year the same researchers confirmed the presence of massive amounts of water deep beneath the Earth's surface, furthering theories that Earth's transition zone may contain as much water as all the world's oceans.

PM5: Sponsored research funding, U15 relative position	Prior Year's Results			Last Actual	Target
	2010-11	2011-12	2012-13	2013-14	2015-16
	3	5	5	5	Top 5

Source: Canadian Association of University Business Officers (CAUBO): *Financial Information of Universities and Colleges*, Report 3.1. Data are the most recent available.

COMMUNITY ENGAGEMENT

The university is focused on enhancing the communities in which it operates, as well as the communities with which it engages, both near and far. The university strives to maintain and expand connections with communities, increasing engagement and consultation. This includes direct interaction such as meetings or events with community members and stakeholder groups, as well as the development of welcoming spaces and partnerships around facilities to enhance university integration with community groups. The development of facilities, programming and, most important, relationships will be priorities in this area. Interaction with industry provides expanded experiences for our students as they prepare to enter the workforce.

HIGHLIGHTS

- In February of 2015, the province named former city councillor and community builder Michael Phair the new chair of the U of A board of governors.
- Seeking expert advice on innovation and economic diversification, the Alberta government called on Joseph Doucet, dean of the Alberta School of Business, to chair the new Premier's Advisory Committee on the Economy.
- Andrew Leach, an energy and environmental economist in the Alberta School of Business, led a panel tasked with formulating a new climate change policy for the province.

PM1: Public interaction	Community Engagement	Prior Year's Results			Last Actual
		2012-13	2013-14	2014-15	2015-16
	Co-op participation	7%	7%	8%	8%
	Community Service-Learning Course Placements	940	1,131	1,506	N/A
	Alumni Connections	28,039	28,825	35,212	46,420

Sources: Institutional Data Warehouse, Community Service-Learning, Office of Alumni Relations.

Notes: Co-op participation is number of students registered in co-op programs. Alumni connections includes connections with alumni, students, and their guests. Co-op and CSL data is for the academic year. Alumni connections are per fiscal year. Last Actual co-op participation represents students registered in co-op programs in fall 2015 (excluding post-graduate medical education students) partial-year data, not year-end totals.

HIGHLIGHTS

- The U of A announced aid for up to 10 Syrian students affected by the conflict in their country to study on campus through a new President's Award for Refugees and Displaced Persons.
- This hockey season, a small team from Calder Bateman worked feverishly with the University of Alberta's Institute for Sexual Minority Studies and Services, or iSMSS, to bring Pride Tape from concept to reality. With a list of champions including Oilers captain Andrew Ference, Pride Tape is a badge of support from the hockey community to LGBTQ youth. A Kickstarter crowdfunding campaign will pay for the first 10,000 rolls and lead off a conversation about ending homophobia in sports.
- The U of A launched the Speakers' Bureau in July 2015 to showcase its talented scholars to the community. Bridging scholars to the community has demonstrated to citizens the importance of post-secondary education, research and its impacts on people's daily lives. To date, hundreds of community members have been engaged with the U of A's researchers and scholars through speaking events at community gathering places as well as through a partnership with the Edmonton Public Library for an evening speakers series.

HIGHLIGHTS

- The U of A increased its engagement internally and externally with communities through initiatives such as Days of Caring, Post-Secondary Cares, presence through ambassadorship at events, and active contribution in governance and committee roles with the United Way. The engagement efforts in addition to surpassing the university's campaign goals are a successful contribution to the success of the Capital Region Campaign. The university's active involvement with the United Way positions the institution as a major contributor to improving the lives of citizens in the city of Edmonton.
- The Community Connections Awards demonstrate the deeply rooted connections between the U of A and the communities that we serve. This is the fourth year the awards are taking place. The Community Scholar Award recipients are Catherine Chan, PhD, and Rhonda Bell, PhD, professors in Human Nutrition in the Faculty of ALES for their work in creating *The Pure Prairie Eating Plan* to support those living with chronic diseases.
- The U of A Community Leader Award went to the Sexual Orientation and Gender Identity Advocacy Committee for creating an annual professional conference which brings speakers and subject matter experts together to help understand issues experienced by members of the LGBTQ community. Their advocacy work has been instrumental in amending the medical school curriculum, fostering a new generation of health care professionals who are better informed and more sensitive to the barriers faced by LGBTQ individuals
- Former U of A law professor Justice Russell Brown became the sixth person from the U of A community to ascend to the Supreme Court of Canada.

INFRASTRUCTURE

As Alberta's largest and oldest post-secondary institution, the U of A manages more than 1.7 million square metres of complex facility inventory, ranging in age from more than 100 years old to brand new. Existing facilities must be able to keep pace with the ongoing teaching, research, and administrative needs of a changing campus community and expanding research mandate. There is also a need to ensure that the university has the necessary infrastructure to support and foster continued enrolment growth and key faculty recruitment. Continued research growth requires increasingly complex labs and equipment, and increased participation of under-represented populations. Among the university's capital priorities are maintaining and refurbishing older facilities, such as the historic Dentistry/Pharmacy building; constructing new academic buildings such as the Translational Lab on North Campus and the new Science Lab at Augustana; creating new and contemporary residence spaces to support more students with diverse needs; creating buildings and spaces to address reconciliation responsibilities, such as the Maskwa House of Learning; and building facilities that enhance community engagement, such as the Edmonton Galleria Project and the Twin Arenas on South Campus.

Major Funded Capital Projects

The university made substantial progress in advancing its capital investment agenda in 2015-16.

Major projects completed in 2015-16 include:

- Donadeo Innovation Centre for Engineering: This facility, which provides 28,400 square metres of space to support expanded educational and research activities in the Faculty of Engineering, was completed in spring 2015 and fully occupied in 2015-16 (project is institutionally funded).
- Chemical Materials Engineering Building: Significant renewals were completed for three floors, and the renewed space was reopened for occupancy (project is institutionally funded).

Major projects underway in 2015-16 include:

- Student housing: Residence projects underway will add a total of 962 beds to our inventory and will increase the university's ability to provide housing to 18.1 per cent of full-time students. These new residences will provide housing for faculty cohorts, and support the university's goal of providing purpose-built housing for up to 25 per cent of its full-time student population. Residences are being developed through debt financing by the institution.
 - Peter Lougheed Hall: This residence expansion project will add 142 beds to our on-campus housing inventory. The new residence will support the Peter Lougheed Leadership College, part of the larger Peter Lougheed Leadership Initiative between the U of A and The Banff Centre, focused on leadership development of undergraduate students. Construction commenced in 2015-16 (project is institutionally funded).
 - East Campus Village 9: This facility will accommodate up to 300 upper-year undergraduate students in four and six bedroom apartments. This new community features fitness, social, study, project, and amenity spaces designed to enhance the student experience. Major planning work was completed in 2015-16 and the project is near construction-ready (project is institutionally funded).
 - Lister Hall Tower 5: This new community will accommodate up to 520 students (based on double occupancy) in a modern, dormitory-style community designed to enhance the experience

of students in their first year. Major planning work was completed in 2015-16 and the project is near construction-ready (project is institutionally funded).

- Research and Collection Resource Facility (RCRF): This records repository project involves construction of a purpose-built facility of approximately 3,437 gross square metres to house 5.1 million volumes (anticipated requirement to 2035) on South Campus with easy access. The new facility will include all required environmental and retrieval systems expected in a modern records depository and will be expandable to accommodate future needs. Construction commenced in 2015-16 (project is institutionally funded).
- Devonian Garden infrastructure: This project will update the gardens' current aged and missing infrastructure (roads, gas, power, and sewer) to a standard to facilitate the planned development and increased visitorship to the garden (project is government funded).
- Devonian Garden Islamic Garden: In June 2009, His Highness the Aga Khan announced plans to create a traditional Islamic garden within the university's Devonian Botanic Garden in recognition of the growing partnership between the university and the Aga Khan University. Design is advancing to facilitate the proposed garden and building infrastructure and will be construction-ready in 2016. Together with other gardens on the Devonian Botanical Garden site, this space will provide learning and research space, community outreach programs and visitor and tourism support (project is institutionally and government funded).

A complete summary of progress on funded and unfunded capital priorities is presented in tables 6 and 7.

HIGHLIGHTS

- The university's District Energy System provides substantial savings in utility costs not only to the university, but also to other taxpayer-funded institutions in the greater campus area (GCA), such as the hospitals, the Jubilee Auditorium, Canadian Blood Services, Alberta government facilities, etc. Over the last five years, the university's purchase prices for natural gas and power have been the lowest amongst the major post-secondary institutions in Alberta, averaging 25 per cent less for natural gas and 28 per cent less for power.
- To support its District Energy Plan, the university has commenced replacement of aging infrastructure in the heating plant while simultaneously providing a reliable supply of steam and power to the greater campus area. This project began in 2014 and will be completed over seven-to-ten years.
- Under the successful Energy Management Program, the university initiated a new series of energy projects for campus facilities, financed through borrowing and paid back through the resulting energy savings.
- The accumulated impact of our ongoing and significant investment in energy initiatives has aided in reducing greenhouse gas emissions and lowering operating costs, and has contributed significantly to the reduction of deferred maintenance liabilities.
- Under the leadership of the Office of Sustainability, the university measures, tracks and reports on performance using the Sustainability Tracking, Assessment & Rating System (STARS™). The university achieved a Gold rating in 2014 (up from a Silver rating in 2012) by increasing efforts across four categories: academics, engagement, operations, and planning and administration.

HIGHLIGHTS

- Through the University of Alberta Property Trust Inc., a wholly-owned subsidiary, the U of A is working to manage and develop university-owned lands and to raise dedicated, permanent funding to support the core mission of the university. The development of designated lands is also intended to contribute to the demand for high-quality, residential, mixed-use in-fill developments, of vibrant, livable communities on the university and in the city's core.
- The university and the City of Edmonton have recently executed a Memorandum of Understanding to investigate and develop a new Twin Arenas facility that would meet common community and programming objectives, supported by sound business case profiles and a rigorous community consultation process while addressing deferred maintenance liabilities.

ANNUAL REPORT 2015-16

FINANCIAL HIGHLIGHTS

The financial statement discussion and analysis should be read in conjunction with the University of Alberta annual audited financial statements. The discussion and analysis and the audited financial statements are reviewed and approved by the University of Alberta Board of Governors on the recommendation of the University of Alberta Audit Committee. The university's financial statements have been prepared in accordance with Canadian Public Sector Accounting Standards.

For more in-depth discussion and analysis of the university's goals and objectives please refer to the following documents: 2016 Comprehensive Institutional Plan, Dare to Discover: A Vision for a Great University, Investment Reports.

<http://uofa.ualberta.ca/reporting>

The financial statement discussion and analysis provides an overview of the university's:

- Summary of Financial Results
- Revenue and Expense
- Capital Acquisitions
- Net Financial Assets
- Net Assets
- Areas of Significant Financial Risk

Change in accounting policy

Endowment contributions and associated investment income capitalized are recognized in the consolidated statement of operations in the period in which they are received. In prior years, such transactions were recognized as direct increases to endowment net assets. Unrealized gains and losses related to endowments are now recognized in the consolidated statement of remeasurement gains and losses.

Comparative figures

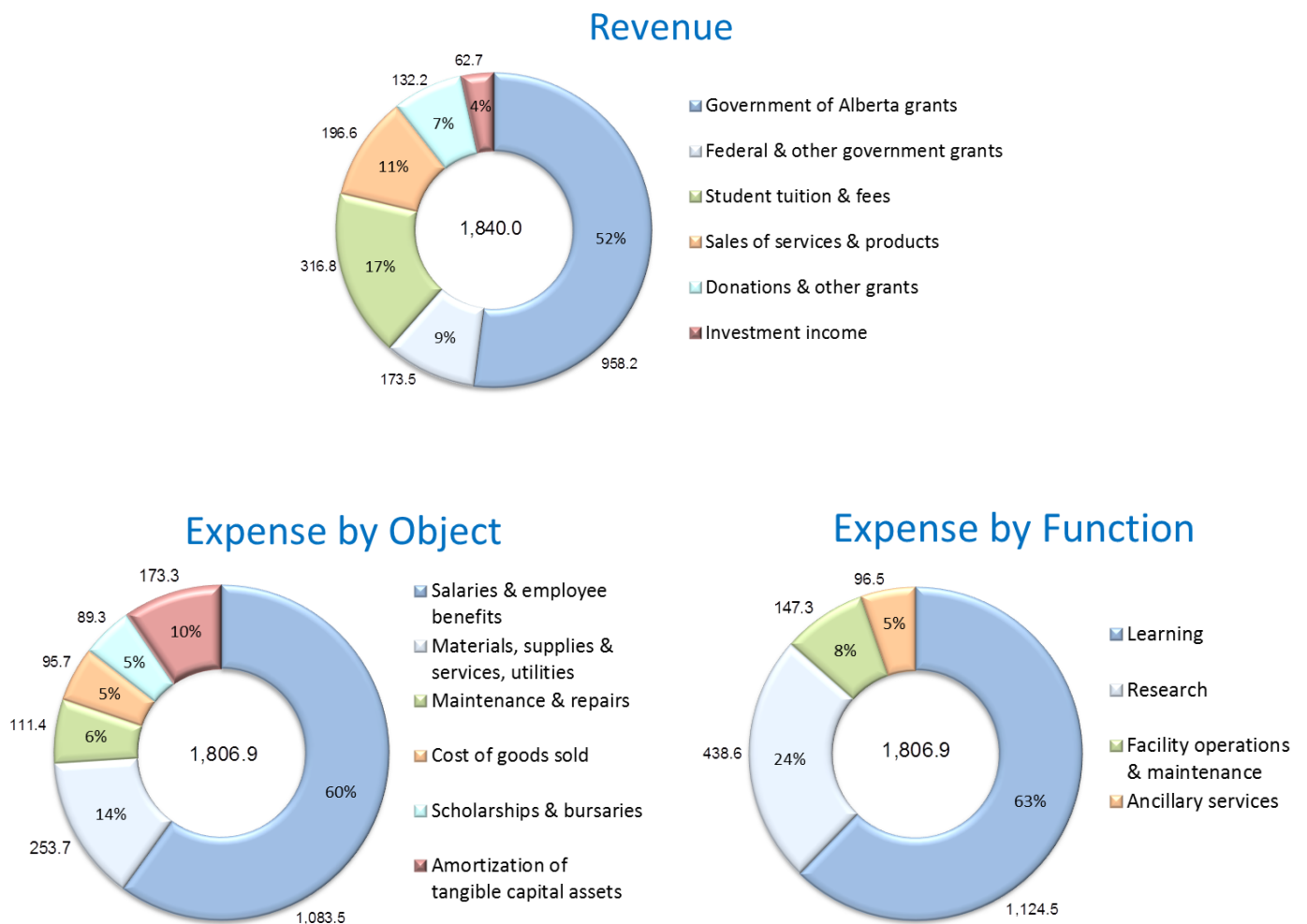
The net financial assets (net debt) model with reclassification of comparatives has been adopted for the presentation of the March 31, 2016 consolidated financial statements. In addition, certain other 2015 comparative figures have been reclassified to conform to the 2016 presentation.

Summary of Financial Results

The university ended the year with an annual surplus of \$62.4 million. Of this amount \$29.3 million are donations directed to endowments and endowment capitalized investment income and therefore is not available for spending. The annual operating surplus of \$33.1 million is more than the \$23.2 million budget mainly due to a timing delay on expenditures by faculties and administrative units across the institution. Some of the expenditure timing delay is attributable to salary obligations that may arise from an academic salary settlement. The annual operating surplus was used for purchases of capital assets and debt repayment.

Net assets of \$1,677.3 million decreased slightly from the prior year (\$1,688.7). The decrease is due to a decrease in endowment fair value partially offset by an increase in the investment in tangible capital assets.

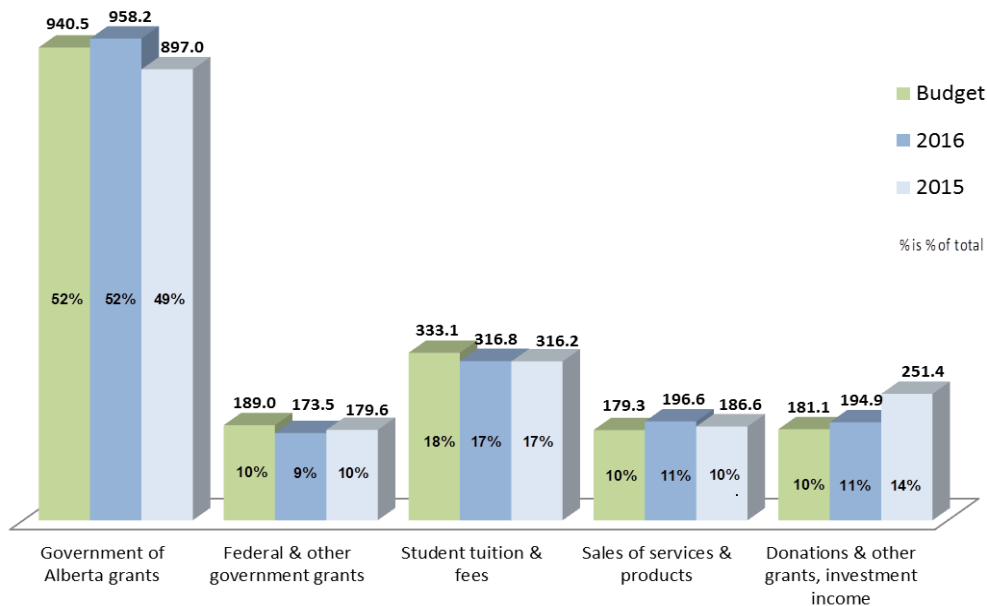
Figure 1. Summary of revenue and expenses



Revenue

Total revenue for the year was \$1,840.0 million, an increase of \$9.2 million over the prior year and \$17.0 million (0.9%) more than budget. Government of Alberta grants are the single largest source of university revenue at 52% of total revenue.

Figure 2. Revenue by source, 2015 and 2016 (budget and actual)



Government of Alberta grants (GoA) represent the university’s single largest source of funding for university activities. The GoA has increased the Campus Alberta (base operating) grant by 2%, while the university had budgeted for 0%. GoA grants are also more than budget due to base funding provided in place of tuition fee freezes.

Federal and other government grants primarily support the university’s research activities. Grants are less than budget due to lower than budgeted research grants.

Student tuition and fees budgeted increase is based on the increase in instructional fees (linked to annual CPI increase), market modifiers, program differential fees and international student fees. Fees have been rolled back to 2014-15 levels and frozen causing a budget variance. GoA has replaced this funding with an infusion of cash that will show in grant revenues. Mandatory non-instructional fees have been rolled back and frozen as well, without replacing funding.

Sales of services and products revenues are generated by ancillary services and faculties and

administrative units to both individuals and external organizations. Ancillary services generated sales of \$92.2 million, while other units generated sales of \$104.4 million. Sales revenue is more than budget due to a general increase across many faculties and administrative units.

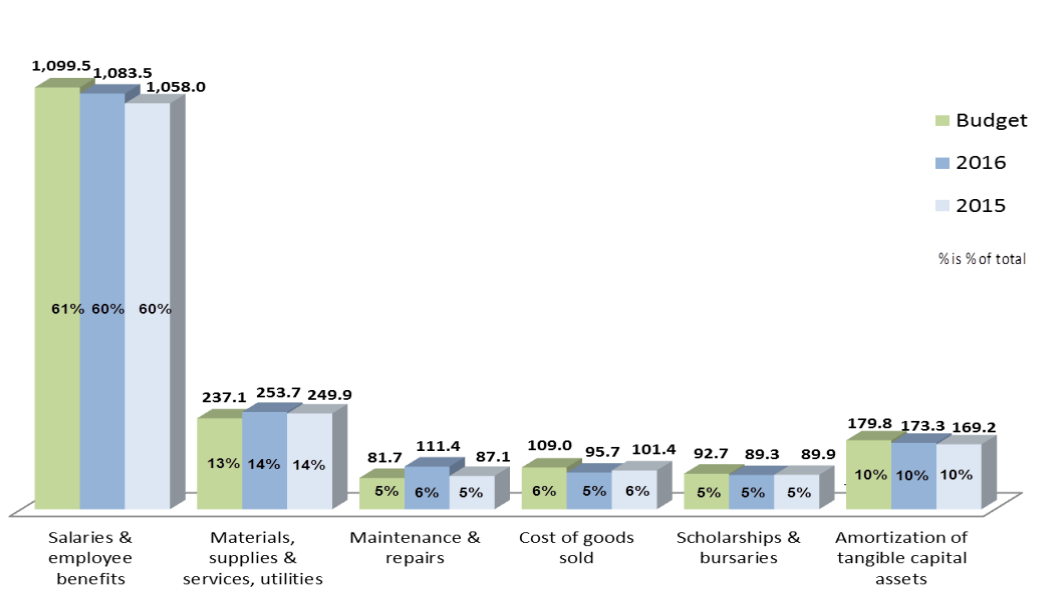
Donations and other grants support many university activities. Donations revenue is \$24.9 million more than budget. Donations include an in kind donation of \$13.0 million for the Students’ Union Building renovations.

Investment income is \$11.2 million less than budget mainly due to lower than budgeted endowment spending resulting in lower than budgeted revenue recognized. Investments fall into two categories, the Unitized Endowment Pool (UEP) and the Non-Endowed Investment Pool (NEIP). The UEP had a loss of (0.4%) (March 2015: 15.3% return) and represents the majority of the university’s long-term investment strategy. The NEIP investments which are allocated to the short-, mid- and long-term investment strategies had a return of 0.6% (March 2015: 4.7% return).

Expense

Total expense for the year was \$1,806.9 million, an increase of \$51.4 million over the prior year and \$7.1 million (0.4%) more than budget. Salaries and benefits are the single largest expense representing 60% of total expense.

Figure 3. Expense by object



Salaries and employee benefits are less than budget. There has been no collective agreement in place since July 2015 for academic staff. Expense is less than budget in the research fund due to lower than budgeted research grants.

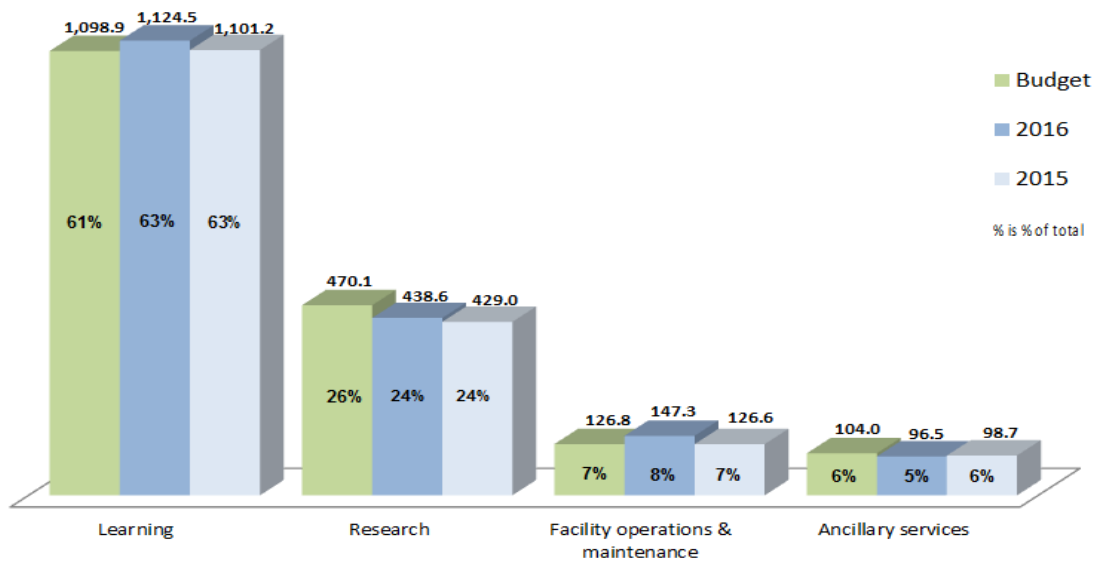
Materials, supplies and services are more than budget due to an increase in expenditures across the institution's operating funds. Utilities are less than budget due to lower rates and consumption. Expense is less than budget in the research fund due to lower than budgeted research grants.

Maintenance and repairs are more than budget due to a major renovation project which was funded, however not budgeted.

Cost of goods sold is less than budget in the Utilities ancillary due to lower utility rates.

Other remaining expenses are comparable to budget.

Figure 4. Expense by function



Learning effectively represents the operating activities of the university and therefore a significant component of this category is staff salary and benefit costs. Learning also represents non-research activity funded through restricted grants and donations and includes undergraduate student scholarships, student bursaries, teaching and learning programs, and community service. This expense is comparable to budget.

Research activities expenses are funded by restricted grants and donations as well as internal funds designated for research related spending. This expense is less than budget due to lower than budgeted grants.

Facility operations and maintenance represents the cost of maintaining university facilities and grounds. This expense is more than budget due to a major renovation which was funded, however not budgeted.

Ancillary services include the university bookstore, parking services, utilities and student residences. Ancillary services are less than budget as a result of lower utility rates and a net overall lower than budgeted expenses across all ancillaries.

Capital Acquisitions

The university expended \$149.9 million (2015: \$200.7) on construction and other tangible capital asset acquisitions.

The most significant construction and capital asset acquisitions in 2016 are:

- Peter Lougheed Hall – a student residence associated with the University of Alberta's Peter Lougheed Leadership College.
- Students' Union Building – a significant renovation to update the building, including expanded social and study space.
- Donadeo Innovation Centre for Engineering – to support expanded educational and research activities.

Net Financial Assets (Net Debt)

The university's liquidity needs are met primarily through operating cash flows, working capital balances and capital expansion funding received through grants or long-term debt. Net financial assets (net debt) is a measure of an organization's ability to use its financial assets to cover liabilities and fund future operations. The university presents the net financial assets indicator as directed by the Controller of the Province of Alberta.

The university's presentation of net financial assets (net debt) includes \$1,149.7 million of portfolio investments that are restricted for endowments. Endowment restricted investments represent contributions from donors that are required to be maintained intact in perpetuity, as well as capitalized investment income that is also required to be maintained in perpetuity to protect the economic value of the endowment. Therefore these investments cannot be used to pay for liabilities or future operating or capital purchases. As a result, university management monitors an adjusted indicator, which management believes is important in evaluating the assets the university has available for future spending.

	2016	2015
Net financial assets (as presented in statement of financial position)	\$ 915.7	\$ 959.1
Less portfolio investments - restricted for endowments	(1,149.7)	(1,181.5)
Adjusted net financial position	\$ (234.0)	\$ (222.4)

The adjusted net financial assets (net debt) position indicates that the university has a deficiency. The deficiency can be attributed to employee future benefit liabilities (2016: \$259.1; 2015: \$253.4) which include the Universities Academic Pension Plan (UAPP) (2016: \$170.7; 2015: \$167.8) and other benefit plans such as supplementary retirement, long-term disability and early retirement (2016: \$88.4; 2015: \$85.6). The UAPP has a plan in place to address the unfunded liability and the university plans to use working capital to fund the other benefit plans (refer to the employee future benefit liabilities note in the financial statements for further information).

Net Assets

	2016				2015			
	Accumulated deficit from operations	Investment in tangible capital assets	Endowments	Total	Accumulated deficit from operations	Investment in tangible capital assets	Endowments	Total
Net assets, beginning of year	\$ (2.2)	\$ 509.4	\$ 1,181.5	\$ 1,688.7	\$ (50.3)	\$ 493.6	\$ 993.7	\$ 1,437.0
Annual operating surplus	33.1	-	-	33.1	75.3	-	-	75.3
Endowments								
New donations	-	-	20.9	20.9	-	-	79.7	79.7
Capitalized investment income	-	-	8.4	8.4	-	-	27.0	27.0
Transfer to endowments	(0.8)	-	0.8	-	(2.5)	-	2.5	-
Tangible capital assets, net	(42.0)	42.0	-	-	(15.8)	15.8	-	-
Change in accumulated remeasurement gains	(11.9)	-	(61.9)	(73.8)	(8.9)	-	78.6	69.7
Net assets, end of year	\$ (23.8)	\$ 551.4	\$ 1,149.7	\$ 1,677.3	\$ (2.2)	\$ 509.4	\$ 1,181.5	\$ 1,688.7
Net assets is comprised of:								
Accumulated surplus	\$ (42.0)	\$ 551.4	\$ 1,031.1	\$ 1,540.5	\$ (32.2)	\$ 509.4	\$ 1,001.0	\$ 1,478.2
Accumulated remeasurement gains	18.2	-	118.6	136.8	30.0	-	180.5	210.5
	\$ (23.8)	\$ 551.4	\$ 1,149.7	\$ 1,677.3	\$ (2.2)	\$ 509.4	\$ 1,181.5	\$ 1,688.7

Endowments consist of restricted donations and capitalized investment income which is required to be maintained intact in perpetuity to support donor specified activities. They support a variety of key initiatives in the areas of academic programs, chairs and professorships, research and scholarships. Endowment spending allocation was \$35.7 million (2015: \$33.2). Prior year endowment donations included the capitalization of an Access to the Future Fund grant (\$54.4).

Tangible capital assets (net) include acquisitions, debt repayment, new financing and amortization.

The decrease in remeasurement gains is due to a decrease in fair value and recognizing realized gains into revenue. Of the \$61.9 million change in accumulated remeasurement for endowments, \$27.9 million is a decrease in fair value and \$34.0 million is recognized into revenue (\$25.6 deferred revenue (endowment spending allocation); \$8.4 recognized as revenue and then capitalized to endowments).

Areas of Significant Financial Risk

The university operates in a complex environment and must deal with a variety of risks which it manages through its integrated enterprise risk management framework. The major risks that can affect the university from a financial perspective are as follows:

Provincial Funding

The Campus Alberta (base operating) grant was increased by 2% for both fiscal years 2016 and 2017. GoA grants represent the university's single largest source of funding for university activities; any reduction in the Campus Alberta or Academic Alternative Relationship Plans (AARP) grants result in significant budgetary pressure. AARP grants provide funding for a significant number of professors at the Faculty of Medicine and Dentistry permitting them to do teaching and research as well as clinical practice.

The university recognizes that funding models are changing for public universities throughout the global post-secondary sector and that universities are expected to generate a greater proportion than in the past of the operating revenues that sustain and enhance the quality of its research and the student experience. The university is pursuing steps which include but are not limited to growing its endowment, generating new net revenues, increasing federal government support for the indirect costs of research, and leveraging the establishment of its land trust. Initiatives to generate revenue are centered mainly in the faculties and include activities such as full cost recovery programs and expansion of international enrolment.

The GoA has signaled it will review the funding model and tuition regulation within the next year.

Salaries

The province is in the process of developing essential services legislation for Alberta's public sector that aligns with the Supreme Court decision on the right to strike. This new legislation will apply to non-academic staff at post-secondary institutions and therefore may have an impact on future salary negotiations.

Pension and Employee Future Benefits

The university currently carries a liability of approximately \$259 million for employee future benefits, representing probable future payments for benefits earned to date. This balance can change for many reasons outside the university's control, including inflation and investment returns.

On the whole, the university's cost of benefits is expected to increase by between 5% and 7% per year in the upcoming years and this is not sustainable. Approximately 61% of the university's non-pension benefit costs relate to programs the university and its staff co-operatively manage and change through negotiation.

The largest of the unfunded liabilities is the university's share of the UAPP, which is approximately \$171 million. Both the UAPP and PSPP deficiencies are expected to be eliminated within approximately 12 years, based on conditions at the time of the last actuarial valuations when the new contribution rates were set. The continuing increase in pension plan contributions represents a significant risk. Without structural reforms to the pension plans, the level of pension plan contributions as a percentage of total benefit costs could reduce other possible expenditures on staff.

Information Technology

The university spends approximately \$95 million per year on information technology to develop and support systems. There are risks in this area that could result in financial and reputational issues.

Deferred Maintenance

The university's deferred maintenance is estimated at over \$800 million. While the university is making progress on deferred maintenance on its older facilities, the overall amount of deferred maintenance remains relatively unchanged. This area remains a high priority as deferred maintenance puts some risk on the university's programs and initiatives. The continuation of appropriate levels of Infrastructure Maintenance Program funding is needed to avoid a return to increasing amounts of deferred maintenance.

INTERNATIONALIZATION

The University of Alberta's international collaborations create exceptional learning, discovery, citizenship and innovation opportunities to advance the institutional vision of being one of the world's top publicly funded institutions for the benefit of our students and the province.

Global Engagement

U of A programs enhance perspectives on challenging global issues and promote cross-cultural understanding and communication skills. These experiences equip students with the necessary knowledge and skills to be successful in an increasingly global environment. Our student-centred initiatives, which promote global engagement, include:

- enhanced experiential, internship and co-op experiences in international settings (examples include the e3 program in Berlin, Brazil and Washington, as well as other educational and research abroad programs in more than 60 countries)
- increased opportunities for U of A students to participate in shorter-duration international experiences, either as an integral component of academic courses or independently (examples include the Alternative Reading Week program in the Faculty of Agricultural, Life & Environmental Sciences - ALES)
- multiple formal joint and double degree programs with partner institutions from around the world.

Research

The university is a research-intensive institution with output that is recognized globally in diverse disciplines. Through active, collaborative research with teams from all over the world, professors advance knowledge, education and pedagogy in their respective disciplines. Global research engagement has many benefits to the U of A and the province, including leveraging funding resources and expertise from other parts of the globe to address challenges that affect everyone, including Albertans. The U of A is continuing to engage in high-quality, multidisciplinary, multinational research projects in many parts of the globe, including:

- strengthening existing strategic international partnerships with India, China, Germany, the United States, and Brazil
- fostering new, multi-disciplinary, multi-national research projects in diverse disciplines with partner institutions from other countries
- leveraging international funding agencies to secure resources to tackle emerging problems in regions of interest.

Diversity

The presence of international students and foreign-trained experts broadens the perspective, impact, and relevance of the U of A's teaching, research, creative activities, and community service work. International students who are educated at the U of A and remain in Alberta provide the province with additional highly skilled, innovative, and entrepreneurial professionals. They also bring cultural diversity together with global connections, insights and alternative perspectives on issues and challenges that better position the university, businesses and the province. The recruitment of exceptional undergraduate and graduate students from targeted highly ranked foreign institutions advances the univer-

sity's academic enterprise and objectives. In 2014–2015, approximately 14 per cent of our undergraduate population and 35 per cent of our graduate population were international students.

Off-Shore Program Delivery

The following table reports core metrics for off-shore program delivery, as per the provincial Guidelines for Off-Shore Delivery of Alberta Post-Secondary Programs and Training.

While this table includes all credential programs offered outside of Canada and joint/dual degree programs with students currently registered, it under-represents the full scope of the university's international educational activities. First, it does not include stand-alone courses or international co-op and experiential components of domestic programs. Second, it does not fully reflect joint degree programs. In certain joint degree programs, students based at a foreign home university may spend time at U of A as visiting students during the course of their program, often working with a U of A faculty mentor, but may petition for joint degree status only as they prepare to graduate. These students are not captured in the program enrolment data reported below.

Table 4. International Shared Credentials (Dual/Joint Degree) Programs³

Graduate Programs												
UAlberta Faculty	Country	Field of Study	Courses Offered (i.e. UAlberta courses offered abroad)	Level of Study	Qualification offered (full or partial)	Type of operation and principal mode of delivery	Institution	Number of students for 2015/16* (UA students abroad)	Number of students for 2015/16* (UA students in program at UA)	Number of students for 2015/16* (students from abroad currently at UA for program)	Type of activity (courses, research, or possibility of both)	Other notes
Alberta School of Business	France	Business	n/a	Master's	MBA from U of A and MSc from EDHEC	dual degree; in person	EDHEC Business School	0	0	5 in spring 2015; 5 in fall 2015 / winter 2016	courses	
Alberta School of Business	Japan	Business	n/a	Master's	MBA from each institution	dual degree; in person	Nagoya University of Commerce and Business (NUCB)	0	0	1	courses	
ALES	Germany UK, Finland	Forestry, Forest Conservation, Environmental Science, Conservation Biology	n/a	Master's	MSc or Master of Forestry from U of A; degrees from other institutions vary	dual degree; in person	Albert-Ludwigs-University (Freiburg)	0	2	1	both courses and research	Master's Programs Leading to Dual Degrees in Forestry and Environmental Management (TRANSFORM-M). Students spend one year in Europe; one year at UAlberta.
							Bangor University (Wales)	0	1	0		
							University of Eastern Finland	1	0	1		

³ In addition to the programs listed in this table, the university offers the following programs which have no students currently enrolled:

- Dual degree Bachelor of Arts, offered in partnership with Ritsumeikan University (Japan), course-based, delivered in person
- Dual degree, MBA from U of A and MBA or MSC from WHU – Otto Beisheim School of Management (Germany), course-based, delivered in person
- Dual degree, Master's or Doctorate in Education from U of A and Seoul National University (South Korea), course- and research-based, delivered in person
- Dual degree, Doctorate in Science from U of A and Universiti Putra Malaysia (Malaysia), research-based, delivered in person

Graduate Programs												
UAlberta Faculty	Country	Field of Study	Courses Offered (i.e. UAlberta courses offered abroad)	Level of Study	Qualification offered (full or partial)	Type of operation and principal mode of delivery	Institution	Number of students for 2015/16* (UA students abroad)	Number of students for 2015/16* (UA students in program at UA)	Number of students for 2015/16* (students from abroad currently at UA for program)	Type of activity (courses, research, or possibility of both)	Other notes
Faculty of Arts	Germany	Arts, Education, Science	n/a	Doctoral	PhD from home institution with notation on parchment	joint degree; in person	Ludwig-Maximilians-Universitat Munchen (LMU)	0	1	0	both courses and research	
Faculty of Education								0	0	0	both courses and research	
Faculty of Science								0	0	0	research	
Faculty of Engineering	France	Engineering	n/a	Master's	MSc from UAlberta and Dipl of Ing. Degree from INPL	dual degree; in person	University of Lorraine	n/a	n/a	6	both courses and research	agreement for incoming students only

Source: University of Alberta International

Notes: 2015-16 data include spring semester 2015

Table 5. University of Alberta Programs Delivered Off-Shore

Master of Financial Management program (Alberta School of Business)	
1. Country location	China
2. Field of study	Business
3. Courses offered (i.e. U of A courses offered abroad)	<ul style="list-style-type: none">• Introduction to Financial Management• Investments• Corporate Finance• International Finance• Risk Management• Fixed Income• History of Finance• Trading and Financial Markets• Mergers and Acquisitions• Accounting for Managers• Tax• Financial Statement Analysis• Strategic Financial Management (Capstone)
4. Level of study	Master's
5. Qualification offered (full or partial)	Master of Financial Management
6. Type of operation and principal mode of delivery	U of A degree granted; Joint teaching with XJTU, face-to-face (in-person)
7. Name of international program partner	Xi'an Jiao Tong University
8. Number of students (heads and FLEs) for 2015/16	89

Source: University of Alberta International

INFORMATION TECHNOLOGY

Information Technology at the university is a critical support for teaching and learning, research and administration. IT infrastructure – including hardware, networks, wireless services and other specialized resources – is the foundation of the U of A's digital environment, supporting academic, research, and administrative requirements, and facilitating administrative efficiency and innovation.

The primary areas of focus for the enhancement of IT infrastructure at the U of A are:

- **Support for research:** providing state-of-the-art systems to support innovative research, including for large-scale data storage. Core IT functionality for research includes data storage and server and app hosting.
- **Support for access:** offering enhanced systems and processes for undergraduate admissions and graduate student scholarships and awards, including enrolment management systems and an institutional data warehouse accessible by admissions personnel across faculties.
- **Support for teaching and learning:** increasing capacity to use digital technologies to enhance learning experiences on campus and for distance education, including support for alternative delivery programs (such as the Master of Arts in Communications and Technology), blended delivery, and other innovative delivery models (such as enabling satellite course sites for courses in Rehabilitation Medicine).
- **Support for efficiency and sustainability:** enhancing the efficiency of administrative systems, including performance reporting and data capture and monitoring of student progress.

In support of these priorities, the university delivered the following major IT enhancements in 2015-16:

- successful deployment of a new graduate admissions system to three early-adopter departments, with full roll-out now underway
- implementation of a new financial system for Olds College, enabling more timely and accurate year-end reporting and responding to concerns identified by the College and the provincial Auditor
- launch of the online university calendar
- performance enhancements for the Electronic Documents and Records Management System, allowing the system to handle about 9,000 transcripts per day from the Alberta Post-Secondary Application System (up from 800)
- implementation of changes to the PeopleSoft system to enable new Registrar initiatives
- enabling of anonymous IDs for publisher websites, allowing instructors to use assigned evaluation materials on publisher websites while preserving student privacy
- support for Peter Lougheed Leadership College to deploy BlackBoard communities (an online venue for hosting teaching and instructional materials) in the College's first course offerings
- transition of the U of A PeopleSoft environment to the IBM cloud, providing improved resilience and availability at the same cost
- migration of the U of A moodle from the Kelowna RackForce data centre to the U of A/University of Calgary shared data centre, with live failover tested successfully
- migration of classroom booking software, Ad Astra, to the Ad Astra private cloud, reducing infrastructure and support costs.

Other major projects were initiated in 2015-16 and will be completed in 2016:

- substantial upgrades to the PeopleSoft system supporting HR processes

- implementation of a system for purchasing to be used across the university
- implementation of a system for planning and budgeting to be used across the university.

CAPITAL PLAN

The university's Capital Plan endeavours to take a balanced approach in identifying the University of Alberta's planning, engineering, and construction needs.

The university's highest project priorities support and are strategically linked to Comprehensive Institutional Plan goals, and have been identified as requiring additional funding support from the Alberta government. Critical projects are further refined to the following groups:

- new (or replacement) projects
- expansion projects
- preservation projects (> \$5 million)
- minor preservation projects (< \$5 million)
- IT deferred maintenance
- health and Safety
- building system renewals

Four Areas of Focus:

1. Functional renewal and reduction in deferred maintenance liability: preserve existing physical assets by addressing deferred maintenance and functional renewal that acknowledges the changes in research and teaching requirements.
2. Envelope funding for pre-design services: target planning dollars for priority projects, thereby ensuring well-defined project scope and budget accuracy.
3. Student housing: provide purpose-built, supportive student housing for up to 25 per cent of full-time enrolment.
4. New space: strategically plan and construct critical new facilities, respecting the varied needs of the university's five distinct campuses.

The following tables identify current capital priorities that address these areas of focus, presented in order of priority within each category (New, Expansion and Preservation).

Table 6. Funded Projects in Progress

Type	Description	Status	Expected Completion Date	Progress Made in Last 12 Months
Residence/academic space	Peter Loughheed Hall (institutionally funded)	Construction in progress	June 2017	Progressed from construction start-up to 40% completion
Residence	East Campus Village 9 (institutionally funded)	Design in progress	Sept 2018	Progressed from business case development to near construction-ready. Borrowing Order in Council (OIC) submitted for approval
Residence	Lister Hall Tower 5 (institutionally funded)	Design in progress	Sept 2018	Progressed from business case development to near construction-ready. Borrowing OIC submitted for approval
Records repository	Research and Collection Resource Facility (institutionally funded)	Construction in progress	Sept 2017	Progressed from concept development to construction start up
Infrastructure additions and improvements	Devonian Garden Infrastructure (government funded)	Final design phase	2018	Design concept completed, consultants retained for construction documentation
9-acre garden development	Devonian Islamic Garden (institutionally and government funded)	Phased delivery (road construction underway; garden design 50% complete)	May 2018	Funding solidified, completion of Schematic and Design Development Phase and construction design has progressed to 50% completion

Table 7. Future Priority Projects

Type	Description	Status	Expected Completion Date*	Progress Made in Last 12 Months
New	Edmonton Downtown Academic and Cultural Centre – Galleria	Funding requested	2019	Concept development completed, phased development
New	Maskwa House of Learning	Funding requested	2018	Progressed from concept development to design development phase
New	Translations Lab – The Edmonton Clinic Diagnostic Centre	Funding requested	2020	Siting option determination in review, programming completed
New	South Campus Arena	Fund development	2019	Business case, concept development, cost planning, schedule planning and soils investigation completed
New	South Campus Basic Infrastructure	Funding requested	2018	Scope confirmation completed
New	South Campus – Utilities/ District Energy Plant	Funding requested	2021	Concept development completed, some preliminary engineering has been started
New	Student Residence – Academic Support Spaces	Funding requested	2018	Area determination and costing plan completed
Expansion	Augustana Science Building – Phase 1 and Phase 2	Funding requested	2019	General space programming completed
Expansion	Campus St Jean Science Building – Expansion	Funding requested	2018	Project schematic design completed
Expansion	Engineering Back-Fill #1 NREF	Funding requested	2018	Concept development completed
Expansion	Engineering Backfill - Various	Funding requested	2020	Programming and concept development completed
Expansion	Science Backfill	Funding requested	2019	Condition assessments and concept development completed
Preservation	Heating Plant – Turbine Generator #3	Funding requested	2020	Business case development completed
Preservation	Dentistry Pharmacy Building – Functional Review Phase 1	Funding requested	2019	Design development completed
Preservation	Universiade Pavilion Building Envelope Upgrade	Funding requested	2017	Budget development and concepts completed
Preservation	Augustana Science Building – Lab Renewal	Funding requested	2018	General space program and concept development completed
Preservation	Chemistry West & East Building Renewal and Modernization	Funding requested	2017**	Scope definition and validation completed
Preservation	Medical Sciences Building Renewal	Funding requested	2018	Condition report completed
Preservation	Clinical Sciences Renewal	Funding requested	2018	Condition report completed
Preservation	Chemical Materials Engineering Building Renewal – Envelope and Elevators	Funding requested	2020	Condition report completed – phased implementation required

Type	Description	Status	Expected Completion Date*	Progress Made in Last 12 Months
Preservation	Cameron Library – Envelope Renewal	Funding requested	2017	Renewal investigations completed
Preservation	Elevator Upgrades	Funding requested	2019	Scope and budget validation completed, phased implementation
Preservation	Agriculture Forestry – Lab Renewal	Funding requested	2016	Scope and budget validation completed

*For projects at the “Funding requested” stage, completion dates are estimates only

**Completion date for highest-priority project components

PUBLIC INTEREST DISCLOSURE ACTIVITY

The university provides avenues for the safe disclosure of concerns related to discrimination and harassment, fraud and misconduct, financial irregularity, noncompliance in research and other related issues. Of 89 disclosures received during the 2015-16 fiscal year, one qualified as a public interest disclosure under the Public Interest Disclosure (Whistleblower Protection) Act. A formal investigation was conducted and found insufficient support for a finding of wrongdoing. Moreover, some issues were not within the university's purview to investigate. The disclosing individual was referred to the appropriate federal body.

MANAGEMENT'S RESPONSIBILITY FOR REPORTING

The University of Alberta's management is responsible for the preparation, accuracy, objectivity and integrity of the information contained in the Annual Report including the financial statements, performance results and supporting management information. Systems of internal control are designed and maintained by management to produce reliable information to meet reporting requirements. The system is designed to provide management with reasonable assurance that transactions are properly authorized, are executed in accordance with all relevant legislation, regulations and policies, reliable financial records are maintained and assets are properly accounted for and safeguarded.

The Annual Report has been developed under the oversight of the institution audit committee, as well as approved by the Board of Governors and is prepared in accordance with the Fiscal Planning and Transparency Act and the Post-Secondary Learning Act.

The Auditor General of the Province of Alberta, the institution's external auditor appointed under the Auditor General Act, performs an annual independent audit of the consolidated financial statements which are prepared in accordance with Canadian public sector accounting standards.

President and Vice Chancellor

Vice President (Finance & Administration)
and Chief Financial Officer

FINANCIAL STATEMENTS



Consolidated Financial Statements

**For the Year Ended
March 31, 2016**

**STATEMENT OF MANAGEMENT RESPONSIBILITY
YEAR ENDED MARCH 31, 2016**

The consolidated financial statements of the University of Alberta have been prepared by management in accordance with Canadian Public Sector Accounting Standards, and in regards to the net financial assets (net debt) indicator, as directed by the Controller of the Province of Alberta. In that framework, the consolidated financial statements present fairly the financial position of the university as at March 31, 2016 and the results of its operations for the year then ended. The presentation of net financial assets (net debt) includes portfolio investments that are restricted for endowments which cannot be used to pay for liabilities or future expenditures.

In fulfilling its responsibilities and recognizing the limits inherent in all systems, management has developed and maintains a system of internal control designed to provide reasonable assurance that university assets are safeguarded from loss and that the accounting records are a reliable basis for the preparation of the consolidated financial statements.

The Board of Governors is responsible for reviewing and approving the consolidated financial statements, and overseeing management's performance of its financial reporting responsibilities.

The Board of Governors carries out its responsibility for review of the consolidated financial statements principally through its Audit Committee. With the exception of the President, all members of the Audit Committee are not employees of the university. The Audit Committee meets with management and the external auditors and internal auditors to discuss the results of audit examinations and financial reporting matters. The external and internal auditors have full access to the Audit Committee, with and without the presence of management.

These consolidated financial statements have been reported on by the Auditor General of Alberta, the auditor appointed under the *Post-secondary Learning Act*. The Independent Auditor's Report outlines the scope of the audit and provides the audit opinion on the fairness of presentation of the information in the consolidated financial statements.

Original signed by David H. Turpin
President

Original signed by Phyllis Clark
Vice-President (Finance & Administration)
Chief Financial Officer



Independent Auditor's Report

To the Board of Governors of the University of Alberta

Report on the Consolidated Financial Statements

I have audited the accompanying consolidated financial statements of the University of Alberta, which comprise the consolidated statement of financial position as at March 31, 2016, and the consolidated statements of operations, change in net financial assets, remeasurement gains and losses, and cash flows for the year then ended, and a summary of significant accounting policies and other explanatory information.

Management's Responsibility for the Consolidated Financial Statements

Management is responsible for the preparation and fair presentation of these consolidated financial statements in accordance with Canadian public sector accounting standards, and for such internal control as management determines is necessary to enable the preparation of consolidated financial statements that are free from material misstatement, whether due to fraud or error.

Auditor's Responsibility

My responsibility is to express an opinion on these consolidated financial statements based on my audit. I conducted my audit in accordance with Canadian generally accepted auditing standards. Those standards require that I comply with ethical requirements and plan and perform the audit to obtain reasonable assurance about whether the consolidated financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the consolidated financial statements. The procedures selected depend on the auditor's judgment, including the assessment of the risks of material misstatement of the consolidated financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity's preparation and fair presentation of the consolidated financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of accounting estimates made by management, as well as evaluating the overall presentation of the consolidated financial statements.

I believe that the audit evidence I have obtained is sufficient and appropriate to provide a basis for my audit opinion.

Opinion

In my opinion, the consolidated financial statements present fairly, in all material respects, the financial position of the University of Alberta as at March 31, 2016, and the results of its operations, its remeasurement gains and losses, its changes in net financial assets, and its cash flows for the year then ended in accordance with Canadian public sector accounting standards.

Merwan N. Saher FCPA, FCA

Auditor General

May 30, 2016

Edmonton, Alberta

UNIVERSITY OF ALBERTA
CONSOLIDATED STATEMENT OF FINANCIAL POSITION
AS AT MARCH 31, 2016
(thousands of dollars)

	Note	2016	2015
			(note 3)
Financial assets			
Cash and cash equivalents	4	\$ 13,091	\$ 57,963
Portfolio investments - non-endowment	5	808,612	800,803
Portfolio investments - restricted for endowments	5	1,149,716	1,181,493
Accounts receivable		131,563	142,499
Inventory		3,325	3,617
		2,106,307	2,186,375
Liabilities			
Accounts payable and accrued liabilities		174,971	222,726
Employee future benefit liabilities	7	259,100	253,389
Debt	8	246,812	224,384
Deferred revenue	9	509,728	526,830
		1,190,611	1,227,329
Net financial assets		915,696	959,046
Non-financial assets			
Tangible capital assets	11	2,745,552	2,770,078
Prepaid expenses		8,517	9,876
		2,754,069	2,779,954
Net assets before spent deferred capital contributions		3,669,765	3,739,000
Spent deferred capital contributions	10	1,992,440	2,050,263
Net assets	12	\$ 1,677,325	\$ 1,688,737
Net assets is comprised of:			
Accumulated surplus		\$ 1,540,519	\$ 1,478,158
Accumulated remeasurement gains		136,806	210,579
		\$ 1,677,325	\$ 1,688,737

Contingent liabilities and contractual obligations (note 13 and 14)

UNIVERSITY OF ALBERTA
CONSOLIDATED STATEMENT OF OPERATIONS
YEAR ENDED MARCH 31, 2016
(thousands of dollars)

	Note	Budget	2016	2015
				(note 3)
Revenue				
Government of Alberta grants	16	\$ 940,491	\$ 958,157	\$ 897,033
Federal and other government grants		188,997	173,483	179,567
Student tuition and fees		333,053	316,795	316,223
Sales of services and products		179,292	196,649	186,557
Donations and other grants		107,278	132,209	149,195
Investment income		73,879	62,678	102,199
		1,822,990	1,839,971	1,830,774
Expense				
Learning		1,098,912	1,124,541	1,101,173
Research		470,096	438,550	428,983
Facility operations and maintenance		126,795	147,282	126,623
Ancillary services		104,013	96,536	98,708
		1,799,816	1,806,909	1,755,487
Annual operating surplus		23,174	33,062	75,287
Endowment contributions		-	20,885	79,683
Endowment capitalized investment income		-	8,414	26,950
		-	29,299	106,633
Annual surplus		23,174	62,361	181,920
Accumulated surplus, beginning of year		1,478,158	1,478,158	1,296,238
Accumulated surplus, end of year	12	\$ 1,501,332	\$ 1,540,519	\$ 1,478,158

The accompanying notes are an integral part of these consolidated financial statements.

UNIVERSITY OF ALBERTA
CONSOLIDATED STATEMENT OF CHANGE IN NET FINANCIAL ASSETS
YEAR ENDED MARCH 31, 2016

(thousands of dollars)

	Budget	2016	2015
			(note 3)
Annual surplus	\$ 23,174	\$ 62,361	\$ 181,920
Acquisition of tangible capital assets	(220,698)	(149,906)	(200,702)
Amortization of tangible capital assets	179,841	173,301	169,186
Loss on disposal of tangible capital assets	707	1,131	986
	(40,150)	24,526	(30,530)
Change in prepaid expenses	1,000	1,359	1,896
Change in spent deferred capital contributions	(31,933)	(57,823)	(10,333)
Change in remeasurement gains and losses	-	(73,773)	69,771
(Decrease) increase in net financial assets	(47,909)	(43,350)	212,724
Net financial assets, beginning of year	959,046	959,046	746,322
Net financial assets, end of year	\$ 911,137	\$ 915,696	\$ 959,046

The accompanying notes are an integral part of these consolidated financial statements.

UNIVERSITY OF ALBERTA
CONSOLIDATED STATEMENT OF REMEASUREMENT GAINS AND LOSSES
YEAR ENDED MARCH 31, 2016
(thousands of dollars)

	Note	2016	2015
			(note 3)
Accumulated remeasurement gains, beginning of year		\$ 210,579	\$ 140,808
Unrealized (losses) gains attributable to:			
Portfolio investments - non-endowment		(10,696)	36,000
Portfolio investments - restricted for endowments		(27,901)	117,972
Amounts reclassified to consolidated statement of operations:			
Portfolio investments - non-endowment		(1,160)	(44,850)
Portfolio investments - restricted for endowments		(34,016)	(39,351)
Net change for the year		(73,773)	69,771
Accumulated remeasurement gains, end of year	12	\$ 136,806	\$ 210,579
Accumulated remeasurement gains is comprised of:			
Portfolio investments - non-endowment		\$ 18,191	\$ 30,047
Portfolio investments - restricted for endowments		118,615	180,532
		\$ 136,806	\$ 210,579

The accompanying notes are an integral part of these consolidated financial statements.

UNIVERSITY OF ALBERTA
CONSOLIDATED STATEMENT OF CASH FLOWS
YEAR ENDED MARCH 31, 2016
(thousands of dollars)

	2016	2015
		(note 3)
Operating transactions		
Annual surplus	\$ 62,361	\$ 181,920
Add (deduct) non-cash items:		
Amortization of tangible capital assets	173,301	169,186
Expended capital recognized as revenue	(117,027)	(113,379)
Loss on disposal of tangible capital assets	1,131	986
Increase in employee future benefit liabilities	5,711	3,086
Change in non-cash items	63,116	59,879
Decrease (increase) in accounts receivable	10,936	(32,038)
Decrease in inventory	292	436
Decrease in accounts payable and accrued liabilities	(47,755)	(28,403)
Decrease in deferred revenue	(17,102)	(46,352)
Decrease in prepaid expenses	1,359	1,896
Increase in spent deferred capital contributions, less in kind donations	41,094	83,958
Cash provided by operating transactions	114,301	221,296
Capital transactions		
Acquisition of tangible capital assets, net of proceeds on disposals	(131,796)	(181,614)
Cash applied to capital transactions	(131,796)	(181,614)
Investing transactions		
Purchases of portfolio investments	(378,371)	(886,793)
Proceeds on sale of portfolio investments	328,566	857,525
Cash applied to investing transactions	(49,805)	(29,268)
Financing transactions		
Debt repayment	(13,072)	(12,639)
Debt - new financing	35,500	35,000
Cash provided by financing transactions	22,428	22,361
(Decrease) increase in cash and cash equivalents	(44,872)	32,775
Cash and cash equivalents, beginning of year	57,963	25,188
Cash and cash equivalents, end of year	\$ 13,091	\$ 57,963

The accompanying notes are an integral part of these consolidated financial statements.

UNIVERSITY OF ALBERTA
NOTES TO THE CONSOLIDATED FINANCIAL STATEMENTS
YEAR ENDED MARCH 31, 2016

(thousands of dollars)

1. Authority and purpose

The Governors of The University of Alberta is a corporation that manages and operates the University of Alberta (the university) under the *Post-secondary Learning Act* (Alberta). All members of the Board of Governors are appointed by either the Lieutenant Governor in Council or the Minister of Advanced Education, with the exception of the Chancellor and President, who are ex officio members. Under the *Post-secondary Learning Act*, Campus Alberta Sector Regulation, the university is a comprehensive academic and research institution offering undergraduate and graduate degree programs as well as a full range of continuing education programs and activities. The university is a registered charity, and under section 149 of the *Income Tax Act* (Canada), is exempt from the payment of income tax.

2. Summary of significant accounting policies and reporting practices

(a) General – Canadian Public Sector Accounting Standards (PSAS) and use of estimates

These consolidated financial statements have been prepared in accordance with PSAS. The measurement of certain assets and liabilities is contingent upon future events; therefore, the preparation of these consolidated financial statements requires the use of estimates, which may vary from actual results. Management uses judgment to determine such estimates. Employee future benefit liabilities and amortization of tangible capital assets are the most significant items based on estimates. In management's opinion, the resulting estimates are within reasonable limits of materiality and are in accordance with the significant accounting policies summarized below. These significant accounting policies are presented to assist the reader in evaluating these consolidated financial statements and, together with the following notes, should be considered an integral part of the consolidated financial statements.

(b) Valuation of financial assets and liabilities

The university's financial assets and liabilities are generally measured as follows:

Portfolio investments - fair value
Cash and cash equivalents, Accounts receivable, Accounts payable and accrued liabilities, Debt - amortized cost

Unrealized gains and losses from changes in the fair value of financial assets and liabilities are recognized in the consolidated statement of accumulated remeasurement gains and losses. When the restricted nature of a financial instrument and any related changes in fair value create a liability, unrealized gains and losses are recognized as deferred revenue.

All financial assets are assessed annually for impairment. Impaired financial losses are recognized as a decrease in revenue, except for the restricted amount which is recognized as a decrease in deferred revenue. A write-down of an investment to reflect a loss in value is not reversed for a subsequent increase in value.

For financial assets and liabilities measured at amortized cost, the effective interest rate method is used to determine interest revenue or expense. Transaction costs are a component of cost for financial assets and liabilities that are measured at amortized cost and expensed when measured at fair value.

Management evaluates contractual obligations for the existence of embedded derivatives and elects to either measure the entire contract at fair value or separately measure the value of the derivative component when characteristics of the derivative are not closely related to the economic characteristics and risks of the contract itself. Contracts to buy or sell non-financial items for the university's normal course of business are not recognized as financial assets or liabilities.

(c) Revenue recognition

All revenue is reported on an accrual basis. Cash received for which services and products have not been provided is recognized as deferred revenue.

Government grants, non-government grants and donations

Government transfers are referred to as government grants.

Restricted grants and donations are recognized as deferred revenue if the terms for use, or the terms along with the university's actions and communications as to the use, create a liability. These grants and donations are recognized as revenue when the terms are met. If the grants and donations are used to acquire or construct tangible capital assets revenue will be recognized over the useful life of the tangible capital assets.

**NOTES TO THE CONSOLIDATED FINANCIAL STATEMENTS
YEAR ENDED MARCH 31, 2016**

(thousands of dollars)

2. Summary of significant accounting policies and reporting practices (continued)

(c) Revenue recognition (continued)

Government grants without terms for the use of the grant are recognized as revenue when the university is eligible to receive the funds. Non-government grants and donations with no restrictions are recognized as revenue in the year received or in the year the funds are committed to the university if the amount can be reasonably estimated and collection is reasonably assured.

In kind donations of services and materials are recognized at fair value when a fair value can be reasonably determined. Volunteers as well as university staff contribute an indeterminable number of hours per year to assist the university in carrying out its mission; such contributed services are not recognized in these consolidated financial statements.

Grants and donations related to land

Grants and donations for the purchase of land are recognized as deferred revenue when received and recognized as revenue when the land is purchased. An in kind grant or donation of land is recognized as revenue at the fair value of the land when a fair value can be reasonably determined. When the fair value cannot be reasonably determined, the in kind grant or donation is recorded at nominal value.

Endowment donations

Endowment donations are recognized as revenue in the consolidated statement of operations in the year in which they are received, and are required by donors to be maintained intact in perpetuity.

Investment income

Investment income includes dividends, interest income and realized gains and losses on the sale of portfolio investments. Investment income from restricted grants and donations is recognized as deferred revenue when the terms for use create a liability, and is recognized as revenue when the terms of the grant or donation are met.

The endowment spending allocation portion of investment income earned by endowments is recognized as deferred revenue when the terms for use by the endowment create a liability. Investment income earned by endowments in excess of this amount is recognized as revenue in the consolidated statement of operations (realized income) and the consolidated statement of remeasurement gains and losses (unrealized gains and losses), and is capitalized and maintained intact in perpetuity.

(d) Endowments

Endowments consist of:

- Externally restricted donations received by the university and internal allocations by the university's Board of Governors, the principal of which is required to be maintained intact in perpetuity.
- Investment income earned by the endowments in excess of the amount required for spending allocation is capitalized to maintain and grow the real value of the endowments. Benefactors as well as university policy stipulate that the economic value of the endowments must be protected by limiting the amount of income that may be expended and by reinvesting unexpended income.

Under the *Post-Secondary Learning Act*, the university has the authority to alter the terms and conditions of endowments to enable:

- Investment income earned by the endowments to be withheld from distribution to avoid fluctuations in the amounts distributed, generally to regulate the distribution of income earned by the endowment.
- Encroachment on the capital of the endowment to avoid fluctuations in the amounts distributed and generally to regulate the distribution of investment income earned by the endowment if, in the opinion of the Board of Governors, the encroachment benefits the university and does not impair the long-term value of the fund.

In any year, if the investment income earned on endowments is insufficient to fund the spending allocation, the spending allocation is funded from the cumulative capitalized income. However, for individual endowments without sufficient cumulative capitalized income, endowment principal is used in that year and is expected to be recovered by future investment income.

(e) Inventory

Inventory for resale is valued at the lower of cost and expected net realizable value and is determined using the weighted average method.

**NOTES TO THE CONSOLIDATED FINANCIAL STATEMENTS
YEAR ENDED MARCH 31, 2016**

(thousands of dollars)

2. Summary of significant accounting policies and reporting practices (continued)

(f) Tangible capital assets

Tangible capital asset acquisitions are recorded at cost, which includes amounts that are directly related, such as design, construction, development, improvement or betterment of the asset. Cost includes overhead directly attributable to construction and development.

The cost less residual value of the tangible capital assets, excluding land, is amortized on a straight-line basis over the estimated useful lives as follows:

Buildings and utilities	10 - 40 years
Equipment, furnishings and systems	3 - 10 years
Learning resources	10 years

Tangible capital asset write-downs are recorded when conditions indicate they no longer contribute to the university's ability to provide services, or when the value of future economic benefits associated with the tangible capital assets are less than their net book value. Net write-downs are recognized as expense.

(g) Employee future benefits

Pension

The university participates with other employers in the Public Service Pension Plan (PSPP) and the Universities Academic Pension Plan (UAPP). These pension plans are multi-employer defined benefit pension plans that provide pensions for the university's participating employees based on years of service and earnings.

Pension expense for the UAPP is actuarially determined using the projected benefit method prorated on service and is allocated to each participating employer based on their respective percentage of employer contributions. Actuarial gains and losses on the accrued benefit obligation are amortized over the expected average remaining service life of the related employee group.

The university does not have sufficient plan information on the PSPP to follow the standards for defined benefit accounting, and therefore follows the standards for defined contribution accounting. Accordingly, pension expense recorded for the PSPP is comprised of employer contributions to the plan that are required for its employees during the year, which are calculated based on actuarially pre-determined amounts that are expected, along with investment income, to provide the plan's future benefits.

Long-term disability

The cost of providing non-vesting and non-accumulating employee future benefits for compensated absences under the university's long-term disability plan is charged to expense in full when the event occurs which obligates the university to provide the benefits. The cost of this benefit is actuarially determined using the accumulated benefit method, a discount rate based on the university's cost of borrowing and management's best estimate of the retirement ages of employees, expected health care costs and the period of employee disability. Actuarial gains and losses on the accrued benefit obligation are amortized over the average expected period the benefit will be paid.

Early retirement

The cost of providing accumulating post-employment benefits under the university's early retirement plans is charged to expense over the period of service provided by the employee. The cost of these benefits is actuarially determined using the projected benefit method prorated on services, a discount rate based on the university's cost of borrowing and management's best estimate of expected health care, dental care, life insurance costs and the period of benefit coverage. Actuarial gains and losses on the accrued benefit obligation are amortized over the expected average remaining service life of the related employee group.

Supplementary retirement plans

The university provides non-contributory defined benefit supplementary retirement benefits to executive based on years of service and earnings. The expense for this plan is actuarially determined using the projected benefit method prorated on service. Actuarial gains and losses on the accrued benefit obligation are amortized over the expected average remaining service life of the related employee group.

The university provides non-contributory defined contribution supplementary retirement benefits to eligible executive and academic staff based on years of service and earnings. The expense for these plans is the employer's current year contribution to the plan as calculated in accordance with the plan rules.

**NOTES TO THE CONSOLIDATED FINANCIAL STATEMENTS
YEAR ENDED MARCH 31, 2016**

(thousands of dollars)

2. Summary of significant accounting policies and reporting practices (continued)

(g) Employee future benefits (continued)

Administrative/professional leave

The university provides for certain executive to accrue a paid leave of absence at the end of their executive appointment. The expense for this plan is actuarially determined using the projected benefit method prorated on service. Actuarial gains and losses on the accrued benefit obligation are amortized over the expected average remaining service life of the related employee group.

General illness

The cost of providing non-vesting and non-accumulating compensated absences to a maximum of 26 weeks (academic staff) or 120 days (support staff) under the university's general illness plan is charged to expense in full when the event occurs which obligates the university to provide the benefit. The cost of this benefit is actuarially determined using the accumulated benefit method and management's best estimate of the period of employee disability.

(h) Investment in government partnerships

Proportionate consolidation is used to record the university's share of the following government partnerships:

- Northern Alberta Clinical Trials and Research Centre (50% interest) - a joint venture with Alberta Health Services to support the shared missions of Alberta Health Services and the university for collaborative clinical research.
- TEC Edmonton (50% interest) - a joint venture with Edmonton Economic Development Corporation to stimulate entrepreneurialism, advance corporate development and accelerate commercialization of new ideas and technologies that benefit society.
- Tri-University Meson Facility (TRIUMF) (8.33% interest) - a joint venture with eleven other universities to operate a sub-atomic physics research facility.
- Western Canadian Universities Marine Sciences Society (20% interest) - provides research infrastructure in the marine sciences for member universities and the world-wide scientific community.

These government partnerships are not material to the university's consolidated financial statements; therefore, separate condensed financial information is not presented.

(i) Investment in government business enterprises

Effective March 11, 2015, the university established a wholly owned government business enterprise, University of Alberta Properties Trust Inc. Government business enterprises are included in the consolidated financial statements using the modified equity method. Since inception, this entity has no transactions.

(j) Expense by function

The university uses the following categories of functions on its consolidated statement of operations:

Learning

Expenses relating to support for the academic functions of the university both directly and indirectly. This function includes expenses incurred by faculties for their scholarly activities and learning administrative services. Other expenses associated with this function include expenses for student awards and bursaries and other programs involving teaching and learning, and community service specifically funded by restricted grants and donations.

Research

Expenses for research activities funded by externally sponsored research funds intended for specific research purposes as well as internal funds designated for research related spending. Other expenses associated with this function include costs such as research administration and research related amortization.

Facility operations and maintenance

Expenses relating to maintenance and renewal of facilities that house the teaching, research and administrative activities within the university. These include utilities, facilities administration, building maintenance, custodial services, landscaping and grounds keeping, as well as major repairs and renovations.

Ancillary services

Expenses relating to services and products provided to the university community and to external individuals and organizations. Services include the university bookstore, parking services, utilities and student residences.

**NOTES TO THE CONSOLIDATED FINANCIAL STATEMENTS
YEAR ENDED MARCH 31, 2016**

(thousands of dollars)

2. Summary of significant accounting policies and reporting practices (continued)

(k) Future accounting changes

In March 2015, the Public Sector Accounting Board issued PS 2200 Related party disclosures and PS 3420 Inter-entity transactions. In June 2015, the Public Sector Accounting Board issued PS 3210 Assets, PS 3320 Contingent assets, PS 3380 Contractual rights, and PS 3430 Restructuring transactions. These accounting standards are effective for fiscal years starting on or after April 1, 2017, with the exception of PS 3430, which is effective for fiscal years starting on or after April 1, 2018.

- PS 2200 - Related party disclosures defines a related party and identifies disclosures for related parties and related party transactions, including key management personnel and close family members.
- PS 3420 - Inter-entity transactions, establishes standards on how to account for and report transactions between public sector entities that comprise a government's reporting entity from both a provider and recipient perspective.
- PS 3210 - Assets provides guidance for applying the definition of assets set out in PS 1000, Financial statement concepts, and establishes general disclosure standards for assets.
- PS 3320 - Contingent assets defines and establishes disclosure standards for contingent assets.
- PS 3380 - Contractual rights defines and establishes disclosure standards on contractual rights.
- PS 3430 - Restructuring transactions defines a restructuring transaction and establishes standards for recognizing and measuring assets and liabilities transferred in a restructuring transaction.

Management is currently assessing the impact of these new standards on the consolidated financial statements. The university discloses transactions and balances related to the Government of Alberta in note 16.

3. Change in accounting policy and comparative figures

a) Change in accounting policy

Effective April 1, 2015, endowment contributions and associated investment income capitalized are recognized in the consolidated statement of operations in the year in which they are received. In prior years, such transactions were recognized as direct increases to endowment net assets in the year they were received. Unrealized gains and losses are recognized in the consolidated statement of accumulated remeasurement gains and losses. This change in accounting policy is applied retroactively with restatement of comparatives.

	2015		
	Previously recorded	Change in accounting policy	Restated
Increase in consolidated statement of operations			
Endowment contributions	\$ -	\$ 79,863	\$ 79,863
Endowment capitalized investment income	-	26,950	26,950

b) Comparative figures

The net financial assets (net debt) model with reclassification of comparatives has been adopted for the presentation of the March 31, 2016 consolidated financial statements. In addition, certain other 2015 comparative figures have been reclassified to conform to the 2016 presentation.

**NOTES TO THE CONSOLIDATED FINANCIAL STATEMENTS
YEAR ENDED MARCH 31, 2016**

(thousands of dollars)

4. Cash and cash equivalents

	2016	2015
Cash	\$ 7,097	\$ 26,569
Money market funds	5,994	31,394
	\$ 13,091	\$ 57,963

Money market funds also include short-term notes and treasury bills with a maturity less than three months from the date of acquisition.

5. Portfolio investments

	2016	2015
Portfolio investments - non-endowment	\$ 808,612	\$ 800,803
Portfolio investments - restricted for endowments	1,149,716	1,181,493
	\$ 1,958,328	\$ 1,982,296

The categorization of portfolio investments measured subsequent to initial recognition at fair value are grouped into levels 1 to 3 based on the degree to which the fair value is observable is as follows:

	2016				2015			
	Level 1 ⁽¹⁾	Level 2 ⁽²⁾	Level 3 ⁽³⁾	Total	Level 1	Level 2	Level 3	Total
Cash and money market funds	\$ 24,562	\$ 540,179	\$ -	\$ 564,741	\$ 12,888	\$ 538,213	\$ -	\$ 551,101
Floating rate notes	-	-	5,636	5,636	-	-	6,982	6,982
Canadian government and corporate bonds	-	204,620	-	204,620	-	214,477	-	214,477
Canadian equity	320,449	-	11,367	331,816	330,825	-	9,047	339,872
Foreign equity	691,047	-	8,749	699,796	712,541	-	6,174	718,715
Pooled hedge funds	-	70,819	-	70,819	-	74,641	-	74,641
Real estate funds	-	-	74,155	74,155	2,274	-	67,816	70,090
	1,036,058	815,618	99,907	1,951,583	1,058,528	827,331	90,019	1,975,878
Other at amortized cost				6,745				6,418
	\$ 1,036,058	\$ 815,618	\$ 99,907	\$ 1,958,328	\$ 1,058,528	\$ 827,331	\$ 90,019	\$ 1,982,296

The fair value measurements are those derived from:

- ⁽¹⁾ Quoted prices in active markets for identical assets.
- ⁽²⁾ Inputs other than quoted prices included within level 1 that are observable for the assets, either directly (i.e. as prices) or indirectly (i.e. derived from prices).
- ⁽³⁾ Valuation techniques that include inputs for the assets that are not based on observable market data (unobservable inputs).

As at March 31, 2016, the average effective yields and the terms to maturity are as follows:

- Money market funds: 0.84% (2015 - 1.11%); term to maturity: less than one year.
- Canadian government and corporate bonds: 0.76% (2015 - 0.75%); terms to maturity: range from less than one year to more than 10 years.

The changes in fair value of level 3 portfolio investments are as follows:

	2016	2015
Balance, beginning of year	\$ 90,019	\$ 68,910
Unrealized gains	4,362	10,813
Purchases	11,151	11,031
Proceeds on sale	(5,625)	(735)
	\$ 99,907	\$ 90,019

**NOTES TO THE CONSOLIDATED FINANCIAL STATEMENTS
YEAR ENDED MARCH 31, 2016**

(thousands of dollars)

6. Financial risk management

The university is exposed to the following risks:

Market price risk

Market risk is the risk that the value of a financial instrument will fluctuate as a result of changes in market prices, whether those changes are caused by factors specific to the individual security, its issuer or general market factors affecting all securities. To manage this risk, the university has policies and procedures in place governing asset mix, diversification, exposure limits, credit quality and performance measurement. The university's Investment Committee, a subcommittee of the Board of Governors, has the delegated authority for oversight of the university's portfolio investments. The university's management of this risk has not changed from prior year.

The university assesses its portfolio sensitivity to a percentage increase or decrease in the market prices. The sensitivity rate is determined using the historical annualized standard deviation for the total Unitized Endowment Pool over a four year period as determined by the BNY Mellon Asset Servicing Global Risk Solutions consulting report. At March 31, 2016, if market prices had a 6.0% (2015 - 7.0%) increase or decrease, with all other variables held constant, the increase or decrease in accumulated remeasurement gains and losses for the year would be \$68,983 (2015 - \$82,705).

Foreign exchange risk

The university is exposed to foreign exchange risk on portfolio investments that are denominated in foreign currencies, specifically U.S. dollars. The university does not hedge its foreign currency exposure with currency forward contracts or any other type of derivative financial instruments.

Credit risk

The university is exposed to credit risk on portfolio investments arising from the potential failure of a counterparty, debtor or issuer to honor its contractual obligations. To manage this risk, the university has established an investment policy with required minimum credit quality standards and issuer limits. The credit risk from accounts receivable is low as the majority of balances are due from government agencies and corporate sponsors.

The distribution of money market funds by risk rating area is as follows:

- Money market funds: R-1(high) 66.9% (2015 - 76.0%); R-1(mid) 33.1% (2015 - 24.0%).
- Bonds: AAA 95.4% (2015 - 95.4%); AA 3.0% (2015 - 2.9%); not rated 1.6% (2015 - 1.7%).

Liquidity risk

The university maintains a portfolio of short-term investments with rolling maturity dates to manage short-term cash requirements. The university maintains a short-term line of credit to ensure that funds are available to meet current and forecasted financial requirements. In 2016, the line of credit was not drawn upon.

Interest rate risk

Interest rate risk is the risk to the university's earnings that will be affected by the fluctuation and degree of volatility in interest rates. This risk is managed by investment policies that limit the term to maturity of certain fixed income instruments that the university holds. Interest rate risk on the university's debt is managed through fixed rate agreements with Alberta Capital Finance Authority (note 8).

The maturity and effective market yield of interest bearing investments are as follows:

	< 1 year	1 - 5 years	> 5 years	Average effective market yield
	%	%	%	%
Money market funds	100.0	-	-	0.8
Canadian government and corporate bonds	-	66.4	33.6	0.8

**NOTES TO THE CONSOLIDATED FINANCIAL STATEMENTS
YEAR ENDED MARCH 31, 2016**

(thousands of dollars)

7. Employee future benefit liabilities

	2016			2015		
	Academic staff	Support staff	Total	Academic staff	Support staff	Total
Universities Academic Pension Plan	\$ 170,670	\$ -	\$ 170,670	\$ 167,833	\$ -	\$ 167,833
Long-term disability	6,048	21,559	27,607	7,708	19,529	27,237
Early retirement	-	25,964	25,964	-	25,265	25,265
SRP (defined contribution)	18,271	-	18,271	16,526	-	16,526
SRP (defined benefit)	10,380	-	10,380	9,259	-	9,259
Administrative/professional leave	4,795	-	4,795	4,792	-	4,792
General illness	737	676	1,413	1,577	900	2,477
	\$ 210,901	\$ 48,199	\$ 259,100	\$ 207,695	\$ 45,694	\$ 253,389

(a) Defined benefit plans accounted for on a defined benefit basis

Universities Academic Pension Plan (UAPP)

The UAPP is a multi-employer contributory joint defined benefit pension plan for academic staff members. An actuarial valuation of the UAPP was carried out as at December 31, 2014 and was then extrapolated to March 31, 2016, resulting in a UAPP deficit of \$868,735 (2015 - \$1,129,894) consisting of a pre-1992 deficit (\$817,638) and a post-1991 deficit (\$51,097). The university's portion of the UAPP deficit has been allocated based on its percentage of the plan's total employer contributions for the year.

The unfunded deficit for service prior to January 1, 1992 is financed by additional contributions of 1.25% (2015 - 1.25%) of salaries by the Government of Alberta. Employees and employers equally share the balance of the contributions of 3.54% (2015 - 2.87%) of salaries required to eliminate the unfunded deficit by December 31, 2043. The Government of Alberta's obligation for the future additional contributions is \$280,477 at March 31, 2016. The unfunded deficiency for service after December 31, 1991 is financed by special payments of 4.93% (2015 - 5.79%) of pensionable earnings until December 31, 2021, 1.71% (2015 - 1.71%) of pensionable earnings for 2022 and 2023, 0.70% (2015 - 0.70%) of pensionable earnings for 2024 and 2025, and 0.25% (2015 - 0.25%) of pensionable earnings for 2026 and 2027, all shared equally between employees and employers.

Long-term disability (LTD) and general illness (GI)

The university provides long-term disability and general illness defined benefits to its academic and support staff. The most recent actuarial valuation for these benefits was as at March 31, 2016. The long-term disability plan provides pension and non-pension benefits after employment, but before the employee's normal retirement date. The general illness plan provides similar benefits but for a maximum of 26 weeks (academic staff) or 120 days (support staff).

Early retirement

The early retirement benefits for support staff include a bridge benefit (2016 - \$19,153; 2015 - \$18,726) and a retirement allowance (2016 - \$6,811; 2015 - \$6,539). The most recent actuarial valuation for these benefits was at March 31, 2016. The bridge benefit allows eligible employees who retire early to continue participating in several staff benefit programs between the date of early retirement and the end of the month in which the employee turns 65. Benefits include group life insurance, employee family assistance program, supplementary health care and dental care. The support staff retirement allowance provides eligible employees (those with 20 years of pensionable service at retirement date) one week's base pay per full year of employment to a maximum 25 days pay.

Supplementary retirement plan (SRP)

The university provides a non-contributory defined benefit supplementary retirement benefit to executive. The SRP obligation is calculated based on assumptions, including inflation, which are prescribed each month by the Canadian Institute of Actuaries. An actuarial valuation of this benefit was carried out as at March 31, 2016. The SRP was closed to new members effective June 30, 2014, as part of the approval of the new defined contribution SRP for executives.

**NOTES TO THE CONSOLIDATED FINANCIAL STATEMENTS
YEAR ENDED MARCH 31, 2016**

(thousands of dollars)

7. Employee future benefit liabilities (continued)

(a) Defined benefit plans accounted for on a defined benefit basis (continued)

Administrative/professional leave (leave)

The university provides for certain executive to accrue a paid leave at the end of their executive appointment. Upon completing their term of service, the individual's salary and benefits in effect at the end of the service are paid for the duration of the leave. The leave obligation is calculated based on assumptions, including inflation, which are prescribed each month by the Canadian Institute of Actuaries. An actuarial valuation of these benefits was carried out as at March 31, 2016.

The expense and liability of these defined benefit plans are as follows:

	2016				2015			
	UAPP	LTD, GI ⁽¹⁾	Early retirement ⁽¹⁾	SRP, leave ⁽¹⁾	UAPP	LTD, GI ⁽¹⁾	Early Retirement ⁽¹⁾	SRP, leave ⁽¹⁾
Expense								
Current service cost	\$ 41,758	\$ 12,747	\$ 1,092	\$ 1,139	\$ 37,272	\$ 11,830	\$ 1,094	\$ 1,326
Interest cost	13,169	1,671	1,108	684	12,940	1,842	1,169	587
Past service cost	-	-	-	175	-	-	-	-
Amortization of actuarial (gains) losses	3,139	59	(250)	(266)	1,830	554	(192)	(485)
	\$ 58,066	\$ 14,477	\$ 1,950	\$ 1,732	\$ 52,042	\$ 14,226	\$ 2,071	\$ 1,428
Liability								
Accrued benefit obligation								
Balance, beginning of year	\$ 1,076,035	\$ 29,634	\$ 22,628	\$ 13,415	\$ 962,719	\$ 31,019	\$ 22,468	\$ 10,422
Current service cost	41,758	12,747	1,092	1,140	37,272	11,830	1,094	1,326
Interest cost	66,708	1,671	1,108	684	64,556	1,842	1,169	587
Past service cost	-	-	-	175	-	-	-	-
Benefits paid	(48,447)	(15,171)	(1,251)	(608)	(43,752)	(13,496)	(1,291)	(244)
Actuarial (gains) losses	(64,083)	1,436	(478)	(480)	55,240	(1,561)	(812)	1,324
Balance, end of year	1,071,971	30,317	23,099	14,326	1,076,035	29,634	22,628	13,415
Plan assets	(929,474)	-	-	-	(874,302)	-	-	-
Plan deficit	142,497	30,317	23,099	14,326	201,733	29,634	22,628	13,415
Unamortized actuarial gains (losses)	28,173	(1,297)	2,865	849	(33,900)	80	2,637	636
	\$ 170,670	\$ 29,020	\$ 25,964	\$ 15,175	\$ 167,833	\$ 29,714	\$ 25,265	\$ 14,051

⁽¹⁾ The university plans to use its working capital to finance these future obligations.

The significant actuarial assumptions used to measure the accrued benefit obligation are as follows:

	2016			2015		
	UAPP	SRP, leave	LTD, GI, early retirement	UAPP	SRP, leave	LTD, GI, early retirement
	%	%	%	%	%	%
Accrued benefit obligation						
Discount rate	6.0	4.5	4.5	6.1	4.8	4.8
Long-term average compensation increase	3.0	2.0	3.0	3.5	0.0	3.0
Benefit cost						
Discount rate	6.1	4.8	4.5	6.6	5.1	4.8
Long-term average compensation increase	3.5	2.0	3.0	3.5	2.0	3.0
Alberta inflation (long-term)	2.0	1.8	2.0	2.25	2.2	2.5
Estimated average remaining services life	10.8 yrs	Note ⁽¹⁾	3-11 yrs	8.6 yrs	Note ⁽¹⁾	4 - 11 yrs

⁽¹⁾ SRP actuarial gains and losses are amortized over the remaining contract terms of the participants.

**NOTES TO THE CONSOLIDATED FINANCIAL STATEMENTS
YEAR ENDED MARCH 31, 2016**

(thousands of dollars)

7. Employee future benefit liabilities (continued)

(b) Defined benefit plan accounted for on a defined contribution basis

Public Service Pension Plan (PSPP)

The PSPP is a multi-employer contributory defined benefit pension plan for support staff members. As the university does not have sufficient information to follow the accounting standards for defined benefit plans, it is accounted for on a defined contribution basis. The pension expense recorded in these consolidated financial statements is \$32,342 (2015 - \$32,186).

An actuarial valuation of the PSPP was carried out as at December 31, 2014 and was then extrapolated to December 31, 2015. At December 31, 2015, the PSPP reported an actuarial deficit of \$133,188 (2014 - \$803,299). For the year ended December 31, 2015 PSPP reported employer contributions of \$347,759 (2014 - \$326,134). For the 2015 calendar year, the university's employer contributions were \$32,342 (2014 calendar year - \$31,968). PSPP's deficit is being discharged through additional contributions from both employees and employers until 2026 (2014 - 2026). Other than the requirement to make increased contributions, the university does not bear any risk related to the PSPP deficit.

(c) Defined contribution plans

Supplementary retirement plans (SRP)

The university provides non-contributory defined contribution supplementary retirement benefits to eligible executive and academic staff members. The expense recorded in these statements is \$1,745 (2015 - \$2,863).

8. Debt

The following debt is with Alberta Capital Finance Authority and measured at amortized cost:

	Maturity Date	Interest rate %	2016	2015
Collateral				
Title to land, building	August 2024 - June 2045	3.273 - 6.000	\$ 116,184	\$ 89,356
Cash flows from facility	June 2017 - December 2047	4.814 - 6.250	53,186	56,215
General Security Agreement	December 2028 - June 2034	2.459 - 3.623	53,350	50,395
None	March 2016 - September 2036	2.599 - 8.750	24,092	28,418
			\$ 246,812	\$ 224,384

Interest expense on debt recorded in these consolidated financial statements is \$10,137 (2015 - \$10,283).

Principal and interest payments are as follows:

	Principal	Interest	Total
2017	\$ 13,749	\$ 10,832	\$ 24,581
2018	12,851	10,167	23,018
2019	11,105	9,594	20,699
2020	11,199	9,077	20,276
2021	11,729	8,548	20,277
Thereafter	186,179	77,020	263,199
	\$ 246,812	\$ 125,238	\$ 372,050

**NOTES TO THE CONSOLIDATED FINANCIAL STATEMENTS
YEAR ENDED MARCH 31, 2016**

(thousands of dollars)

9. Deferred revenue

	2016			2015
	Unspent externally restricted grants and donations	Student tuition and other revenue	Total	Total
Balance, beginning of year	\$ 506,271	\$ 20,559	\$ 526,830	\$ 573,182
Net change for the year				
Grants, donations, endowment spending allocation and tuition	542,453	323,247	865,700	934,584
Transfers to spent deferred capital contributions	(59,204)	-	(59,204)	(103,046)
Recognized as revenue	(502,285)	(321,313)	(823,598)	(877,890)
Net change for the year	(19,036)	1,934	(17,102)	(46,352)
	\$ 487,235	\$ 22,493	\$ 509,728	\$ 526,830

10. Spent deferred capital contributions

Spent deferred capital contributions is comprised of externally restricted grants and donations spent on tangible capital assets, less amortization recognized as revenue.

	2016	2015
Balance, beginning of year	\$ 2,050,263	\$ 2,060,596
Net change for the year		
Transfers from deferred revenue	59,204	103,046
Expended capital recognized as revenue	(117,027)	(113,379)
Net change for the year	(57,823)	(10,333)
	\$ 1,992,440	\$ 2,050,263

**NOTES TO THE CONSOLIDATED FINANCIAL STATEMENTS
YEAR ENDED MARCH 31, 2016**

(thousands of dollars)

11. Tangible capital assets

	2016					2015
	Buildings and utilities	Equipment, furnishings and systems	Learning resources	Land	Total	Total
Cost						
Beginning of year	\$ 3,347,593	\$ 1,282,188	\$ 380,068	\$ 88,783	\$ 5,098,632	\$ 4,907,092
Acquisitions	71,734	53,547	24,625	-	149,906	200,702
Disposals	-	(8,270)	-	-	(8,270)	(9,162)
	3,419,327	1,327,465	404,693	88,783	5,240,268	5,098,632
Accumulated amortization						
Beginning of year	1,092,816	956,605	279,133	-	2,328,554	2,167,544
Amortization expense	85,944	69,236	18,121	-	173,301	169,186
Disposals	-	(7,139)	-	-	(7,139)	(8,176)
	1,178,760	1,018,702	297,254	-	2,494,716	2,328,554
Net book value, March 31, 2016	\$ 2,240,567	\$ 308,763	\$ 107,439	\$ 88,783	\$ 2,745,552	\$ 2,770,078
Net book value, March 31, 2015	\$ 2,254,777	\$ 325,583	\$ 100,935	\$ 88,783	\$ 2,770,078	

Included in buildings and utilities is \$35,709 (2015 - \$150,572) recorded as construction in progress, which is not amortized as the assets are not in service.

Acquisitions include in kind donations in the amount of \$18,110 (2015 - \$19,088).

The university holds library permanent collections and other permanent collections which include works of art, museum specimens, archival materials and maps. These collections are expensed and therefore are not included in tangible capital assets.

**NOTES TO THE CONSOLIDATED FINANCIAL STATEMENTS
YEAR ENDED MARCH 31, 2016**

(thousands of dollars)

12. Net Assets

	2016				2015			
	Accumulated deficit from operations	Investment in tangible capital assets	Endowments	Total	Accumulated deficit from operations	Investment in tangible capital assets	Endowments	Total
Net assets, beginning of year	\$ (2,187)	\$ 509,431	\$ 1,181,493	\$ 1,688,737	\$ (50,276)	\$ 493,634	\$ 993,688	\$ 1,437,046
Annual operating surplus	33,062	-	-	33,062	75,287	-	-	75,287
Endowments								
New donations	-	-	20,885	20,885	-	-	79,683	79,683
Capitalized investment income	-	-	8,414	8,414	-	-	26,950	26,950
Transfer to endowments	(841)	-	841	-	(2,551)	-	2,551	-
Tangible Capital Assets								
Acquisitions	(91,917)	91,917	-	-	(98,655)	98,655	-	-
Debt repayment	(10,201)	10,201	-	-	(10,268)	10,268	-	-
Debt - new financing	3,884	(3,884)	-	-	37,319	(37,319)	-	-
Amortization	56,274	(56,274)	-	-	55,807	(55,807)	-	-
Change in accumulated remeasurement gains	(11,856)	-	(61,917)	(73,773)	(8,850)	-	78,621	69,771
Net assets, end of year	\$ (23,782)	\$ 551,391	\$ 1,149,716	\$ 1,677,325	\$ (2,187)	\$ 509,431	\$ 1,181,493	\$ 1,688,737

Net assets is comprised of:

Accumulated surplus	\$ (41,973)	\$ 551,391	\$ 1,031,101	\$ 1,540,519	\$ (32,234)	\$ 509,431	\$ 1,000,961	\$ 1,478,158
Accumulated remeasurement gains	18,191	-	118,615	136,806	30,047	-	180,532	210,579
	\$ (23,782)	\$ 551,391	\$ 1,149,716	\$ 1,677,325	\$ (2,187)	\$ 509,431	\$ 1,181,493	\$ 1,688,737

13. Contingent liabilities

- (a) The university is a defendant in a number of legal proceedings arising in the normal course of business. While the ultimate outcome and liability of these proceedings cannot be reasonably estimated at this time, the university believes that any settlement will not have a material adverse effect on the financial position or the results of operations of the university. Management has concluded that none of the claims meet the criteria for recording a liability.
- (b) The university has identified a potential liability related to the existence of asbestos in a number of its facilities. Although not a current health hazard, upon renovation or demolition of these facilities, the university may be required to take appropriate remediation procedures to remove the asbestos. As the university has no legal obligation to remove the asbestos in these facilities as long as the asbestos is contained and does not pose a public health risk, the fair value of the obligation cannot be reasonably estimated due to the indeterminate timing and scope of the removal. The asset retirement obligations for these assets will be recorded in the period in which there is certainty that the renovation or demolition project will proceed and there is sufficient information to estimate fair value of the obligation.

**NOTES TO THE CONSOLIDATED FINANCIAL STATEMENTS
YEAR ENDED MARCH 31, 2016**

(thousands of dollars)

14. Contractual Obligations

- (a) The university has contractual obligations that will result in liabilities in the future when the terms of the contracts are met. The estimated aggregate amount payable for the unexpired terms of these contractual obligations are as follows:

	Service contracts	Capital projects	Long-term leases	Total
2017	\$ 76,500	\$ 61,766	\$ 6,072	\$ 144,338
2018	43,412	24,417	3,879	71,708
2019	32,755	3,144	2,328	38,227
2020	19,790	-	1,648	21,438
2021	4,423	-	1,245	5,668
Thereafter	83	-	3,464	3,547
	\$ 176,963	\$ 89,327	\$ 18,636	\$ 284,926

The significant service contracts are as follows:

- In order to manage its exposure to the volatility in the electrical industry, the university has entered into contracts to fix a portion of its electrical cost. The five contracts (2015 - six contracts) with expenditures totaling \$67,552 (2015 - \$88,101) expire over the next five years.
 - Effective August 1, 2015, the university entered into an agreement with an external party for dining and catering services. The agreement has four years remaining with a total estimated cost of \$45,067 (2015 - \$3,500).
 - Effective July 1, 2015, the university entered into an agreement for infrastructure management services. The agreement has four years remaining with a cost of \$14,809 (2015 - \$887). Effective July 1, 2015, the university entered into an agreement for application management services. The agreement has one year remaining with a cost of \$3,761 (2015 - \$687, three months remaining).
 - Effective August 1, 2014, the university entered into an agreement with an external party for custodial services. The agreement has one year remaining with a cost of \$9,911 (2015 - \$17,344).
- (b) The university is one of 61 members of CURIE, the Canadian Universities Reciprocal Insurance Exchange, a self-insurance reciprocal established to share the insurable property, liability, and errors and omissions risks of member universities. The projected cost of claims against the exchange is based on actuarial projections and is funded through members' premiums. As at December 31, 2015, CURIE had a surplus of \$69,679 (2014 - \$74,231), of which the university's pro rata share is approximately 7.19% (2015 - 7.18%). This surplus is not recorded in the consolidated financial statements.

15. Budget

The university's 2015-16 budget was approved by the Board of Governors and was presented to the Minister of Advanced Education as part of the university's submission of its 2015-16 Comprehensive Institutional Plan.

**NOTES TO THE CONSOLIDATED FINANCIAL STATEMENTS
YEAR ENDED MARCH 31, 2016**

(thousands of dollars)

16. Government of Alberta grants

	2016	2015
Advanced Education - Campus Alberta grant	\$ 607,963	\$ 588,813
Advanced Education - Access to the Future Fund grant	-	58,714
Advanced Education - other grants	105,907	107,005
Health - Academic Alternative Relationship Plans	75,753	62,240
Health - other grants	65,439	59,816
Alberta Health Services	9,191	8,803
Other departments and agencies	15,200	13,120
	879,453	898,511
Expended capital recognized as revenue	86,482	91,476
Deferred revenue	(7,778)	(92,954)
	\$ 958,157	\$ 897,033

The net amount receivable is \$3,543 (2015 - \$17,387).

The university holds \$8,511 (2015 - \$11,395) on behalf of government agencies.

17. Expense by object

	2016 Budget	2016	2015
Salaries	\$ 915,941	\$ 900,113	\$ 878,666
Employee benefits	183,524	183,340	179,373
Materials, supplies and services	183,299	209,851	205,483
Maintenance and repairs	81,663	111,398	87,141
Cost of goods sold	109,021	95,743	101,376
Scholarships and bursaries	92,719	89,303	89,933
Utilities	53,808	43,860	44,329
Amortization of tangible capital assets	179,841	173,301	169,186
	\$ 1,799,816	\$ 1,806,909	\$ 1,755,487

**NOTES TO THE CONSOLIDATED FINANCIAL STATEMENTS
YEAR ENDED MARCH 31, 2016**

(thousands of dollars)

18. Salaries and employee benefits

2016						
	Base salary ⁽⁵⁾	Non-cash benefits ⁽⁶⁾	Non-cash benefits (DB SRP) ⁽⁷⁾	Non-cash benefits (EDC SRP) ⁽⁸⁾	Non-cash benefits (leave) ⁽⁹⁾	Total
Governance ⁽¹⁾						
Board of Governors	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Executive						
President ⁽²⁾	547	89	127	21	104	888
Provost and Vice-President (Academic) ⁽³⁾	402	37	-	18	-	457
Vice-President (Research)	506	42	109	-	125	782
Vice-President (Facilities and Operations)	479	41	156	-	92	768
Vice-President (Finance and Administration)	469	32	131	-	40	672
Vice-President (University Relations)	384	41	89	-	208	722
Vice-President (Advancement) ⁽⁴⁾	385	42	-	7	16	450
2015						
	Base salary ⁽⁵⁾	Non-cash benefits ⁽⁶⁾	Non-cash benefits (DB SRP) ⁽⁷⁾	Non-cash benefits (EDC SRP)	Non-cash benefits (leave) ⁽⁹⁾	Total
Governance ⁽¹⁾						
Board of Governors	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Executive						
President	549	50	274	-	107	980
Provost and Vice-President (Academic) ⁽³⁾	450	39	43	-	76	608
Vice-President (Research)	504	95	76	-	93	768
Vice-President (Facilities and Operations)	477	42	115	-	72	706
Vice-President (Finance and Administration)	467	33	124	-	72	696
Vice-President (University Relations)	383	40	88	-	-	511
Vice-President (Advancement) ⁽⁴⁾	386	34	58	-	-	478

⁽¹⁾ The Chair and Members of the Board of Governors receive no remuneration for participation on the Board.

⁽²⁾ In 2016, two individuals held this position.

⁽³⁾ In 2016, two individuals held this position. The interim Provost and Vice-President (Academic) did not participate in any executive benefit programs. In 2015, two individuals held this position. The interim Provost and Vice-President (Academic) did not participate in any executive benefit programs.

⁽⁴⁾ In 2016, two individuals held this position. The interim Vice President (Advancement) did not participate in any executive benefit programs. In 2015, two individuals held this position. The interim Vice President (Advancement) did not participate in any executive benefit programs.

⁽⁵⁾ Base salary includes pensionable base pay for all executive, as well as a market supplement for some executives. Certain base salary amounts also include a car allowance, and a reduction for the optional personal leave program (days off without pay).

⁽⁶⁾ Non cash benefits include the university's share of all employee benefits and contributions or payments made on behalf of employees including pension, group life insurance, employee and family assistance program, critical illness, supplementary health care, short and long term disability plans, and dental plan. Benefits for some of the executive also include parking, supplemental life insurance, forgivable housing loans, mobile device allowances, and club dues. Additional non cash benefits for the former President include expenses related to the personal use portion of the residence which the former President rented from the university.

⁽⁷⁾ Under the terms of the Defined Benefit Supplementary Retirement Plan (DB SRP), the executive may receive supplemental payments. Retirement arrangement costs as detailed below are not cash payments in the period but are period expenses for the rights to future compensation. Costs shown reflect the total estimated cost to provide supplementary retirement benefits. The DB SRP provides future benefits to participants based on years of service and earnings. The cost of these benefits is actuarially determined using the projected benefit method pro rated on service, a market interest rate, and other assumptions included in the Canadian Institute of Actuaries' lump sum commuted value standard. Net actuarial gains and losses of the benefit obligations are amortized over the remaining terms of the participants' contracts. Current service cost is the actuarial present value of the benefits earned in the current year. The DB SRP was closed to new members effective June 30, 2014.

**NOTES TO THE CONSOLIDATED FINANCIAL STATEMENTS
YEAR ENDED MARCH 31, 2016**

(thousands of dollars)

18. Salaries and employee benefits (continued)

The DB SRP current service cost and accrued obligation is as follows:

	Years of eligible University of Alberta service	2015		2016		
		Accrued obligation	Service costs	Interest and other costs ^(7c)	Actuarial (gain) loss	Accrued obligation ^(7d)
President ^(7a)	0.8	\$ -	\$ 13	\$ -	\$ 5	\$ 18
Former President ^(7b)	10.0	3,006	77	37	-	3,120
Vice-President (Research)	8.8	672	87	22	31	812
Vice-President (Facilities and Operations) ^(7c)	13.7	1,052	122	34	52	1,260
Vice-President (Finance and Administration) ^(7c)	14.3	1,052	98	33	53	1,236
Vice-President (University Relations)	5.8	361	76	13	(7)	443

^(7a) The DB SRP was closed to new members effective June 30, 2014. However, a portion of the supplementary retirement benefit for the current President is calculated on a defined benefit basis, and the liability will be disclosed as such as service is provided.

^(7b) Includes service to June 30, 2015 and the accrued obligation shown is at June 30, 2015.

^(7c) Includes additional costs with respect to plan amendments.

^(7d) The significant actuarial assumptions used to measure the accrued benefit obligation are disclosed in (note 7).

⁽⁸⁾ Under the terms of the Executive Defined Contribution Supplementary Retirement Plan (EDC SRP), the executive may receive supplemental payments. Retirement arrangement costs as detailed below are not cash payments in the period but are period expenses for the rights to future compensation. Costs shown reflect the total cost to provide supplementary retirement benefits. The EDC SRP provides future benefits to participants based on the value of the contributions at the end of their service. The cost of these benefits is calculated based on pensionable salary multiplied by a factor based on age and service. The EDC SRP was introduced effective July 1, 2014, for all executives commencing employment on or after that date.

The EDC SRP current service cost and amount due is as follows:

	Years of eligible University of Alberta service	2015		2016	
		Amounts due to participants	Service costs	Interest and investment earnings ^(8a)	Amounts due to participants
President	0.8	\$ -	\$ 21	\$ -	\$ 21
Provost and Vice-President (Academic)	0.8	-	18	-	18
Vice-President (Advancement)	0.5	-	7	-	7

^(8a) Contributions are made on an annual basis at the end of the plan (calendar) year. Interest is paid in lieu of contributions being made every month. Investment earnings are distributed to each plan participant based on the overall return of the plan's investments.

**NOTES TO THE CONSOLIDATED FINANCIAL STATEMENTS
YEAR ENDED MARCH 31, 2016**

(thousands of dollars)

18. Salaries and employee benefits (continued)

⁽⁹⁾ The leave plan current service cost and accrued obligation is as follows:

	Years of eligible University of Alberta service	2015		2016		
		Accrued obligation	Service costs	Interest and other costs	Actuarial losses (gains)	Accrued obligation ^(9d)
President	0.8	\$ -	\$ 62	\$ 2	\$ 1	\$ 65
Former President ^(9a)	10.0	1,057	27	13	-	1,097
Vice-President (Research)	8.8	758	98	27	20	903
Vice-President (Facilities and Operations) ^(9b)	13.0	1,096	58	35	30	1,219
Vice-President (Finance and Administration) ^(9b)	13.0	1,142	6	34	29	1,211
Vice-President (University Relations) ^(9c)	5.8	-	201	7	2	210
Vice-President (Advancement)	0.5	-	15	1	-	16

^(9a) Includes service to June 30, 2015 and the accrued obligation shown is at June 30, 2015.

^(9b) Has accrued the maximum leave eligibility available.

^(9c) The terms of the contract renewal provided for the leave benefit effective the incumbent's start date.

^(9d) The significant actuarial assumptions used to measure the accrued benefit obligation are disclosed in (note 7).

19. Approval of financial statements

The consolidated financial statements were approved by the Board of Governors.



OUTLINE OF ISSUE

Agenda Title: **Institutional Strategic Plan: *For the Public Good***

Motion: THAT the Board of Governors, on the recommendation of the Board Learning and Discovery Committee and General Faculties Council, approve the Institutional Strategic Plan: *For the Public Good*, as set forth in Attachment 1, to be effective upon approval, and empower administration to make any editorial changes to the plan, as needed, as long as the changes do not have the force of policy.

Item

Action Requested	<input checked="" type="checkbox"/> Approval <input type="checkbox"/> Recommendation <input type="checkbox"/> Discussion/Advice <input type="checkbox"/> Information
Proposed by	David H. Turpin, President, and Steven Dew, Provost and Vice-President (Academic)
Presenter	David H. Turpin, President, and Steven Dew, Provost and Vice-President (Academic)
Subject	Institutional Strategic Plan: For the Public Good

Details

Responsibility	President, and Provost & Vice-President (Academic)
The Purpose of the Proposal is (please be specific)	<p>In consultation with the University of Alberta, the President and Provost & Vice-President (Academic) have developed a plan to guide the overall decision-making and governance process of the university for the next decade. The plan reaffirms the institutional vision and mission and establishes five strategic goals:</p> <p>BUILD a diverse, inclusive community of exceptional students, faculty, and staff from Alberta, Canada, and the world.</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>EXCEL as individuals, and together, sustain a culture that fosters and champions distinction and distinctiveness in teaching, learning, research, and service.</p> <p>ENGAGE communities across campuses, city and region, province, nation, and the world to create reciprocal, mutually beneficial learning experiences, research projects, partnerships, and collaborations.</p> <p>SUSTAIN our people, our work, and the environment by attracting and stewarding the resources we need to deliver excellence to the benefit of all.</p> <p>In pursuing these goals, and the objectives and strategies that have been developed to animate them, we will be guided by the knowledge that we are a public university acting for the public good. As a community, the University of Alberta will deepen its dedication to excellence and extend its record of public leadership, playing a lead role in building a better province, a better Canada, and a better world.</p>

Item No. 4a

The Impact of the Proposal is	To establish a new strategic direction for the institution under the leadership of the President and Provost & Vice-President (Academic). Upon approval of the plan, the university community will move from the planning phase into: <ul style="list-style-type: none"> - priority setting (short-, medium- and long-term) - the development of measures to monitor our progress - the establishment of an institution reporting process to hold ourselves accountable to the plan
Replaces/Revises (eg, policies, resolutions)	Dare to Discover, Dare to Deliver, Change@UAlberta
Timeline/Implementation Date	Effective upon approval
Estimated Cost	N/A
Sources of Funding	N/A
Notes	

Alignment/Compliance

Alignment with Guiding Documents	
Compliance with Legislation, Policy and/or Procedure Relevant to the Proposal (please <u>quote</u> legislation and include identifying section numbers)	<p>1. Post-Secondary Learning Act (PSLA) “26(1) Subject to the authority of the board, a general faculties council is responsible for the academic affairs of the university”</p> <p>2. General Faculties Council Terms of Reference (3. Mandate of the Committee) “The issues which remain with GFC or which would be referred by a Standing Committee to GFC would generally be in the nature of the following: <ul style="list-style-type: none"> • high level strategic and stewardship policy issues or matters of significant risk to the University” </p> <p>3. GFC Executive Committee Terms of Reference (3. Mandate of the Committee) “GFC has delegated to the Executive Committee the authority to decide which items are placed on a GFC Agenda, and the order in which those agenda items appear on each GFC agenda.”</p> <p>4. GFC Academic Planning Committee Terms of Reference (3. Mandate of the Committee) “ APC is responsible for making recommendations to GFC and/or to the Board of Governors concerning policy matters and action matters with respect to the following: <ol style="list-style-type: none"> 1. Planning and Priorities To recommend to GFC and/or the Board of Governors on planning and priorities with respect to the University’s longer term academic, financial, and facilities development.” </p> <p>5. Board Learning and Development Committee (3. Mandate of the Committee) “Except as provided in paragraph 4 hereof and in the Board’s General Committee Terms of Reference, the Committee shall, in accordance with the Committee’s responsibilities with powers granted under the Post-Secondary Learning Act, monitor, evaluate, advise and make decisions</p>

Item No. 4a

	<p>on behalf of the Board with respect to matters concerning the teaching and research affairs of the University, including proposals coming from the administration and from General Faculties Council (the “GFC”) and shall consider future educational expectations and challenges to be faced by the University. [...]</p> <p>Without limiting the generality of the of the foregoing the Committee shall:</p> <p>a. review and approve initiatives related to the overall academic mission and related plans and policies of the University; [...]</p> <p>n. review and recommend to the Board any annual reports and any other major issues within the mandate of the committee; [...]</p> <p>The Committee shall review, evaluate, and provide information and recommendations to the Board where the Board is making decisions in areas generally related to areas of responsibility of the Committee.”</p>
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Routing (Include meeting dates)

<p>Participation: (parties who have seen the proposal and in what capacity)</p> <ul style="list-style-type: none"> • Those who have been informed • Those who have been consulted • Those who are actively participating 	<p>Broad participation has been sought across the campus over an 8-month period.</p> <p>-A record of the consultation process and the community feedback can be found online: https://uofa.ualberta.ca/strategic-plan</p> <p>-Two rounds of consultation have been completed in the 2015-16 academic year:</p> <ul style="list-style-type: none"> - Discussion paper consultation (September to February): 33 consultations with 860 participants - Draft plan consultation (February to April): 36 consultations, 1010 participants - Consultations included: Campus Forums, Roundtable Discussions, General Faculties Council, GFC Academic Planning Committee, GFC Academic Standards Committee, GFC Committee on the Learning Environment, Board Learning and Discovery Committee, Board University Relations Committee, Deans’ Council, Chairs’ Council, University Research Policy Committee, Students’ Union and Council of Faculty Associations, Graduate Students’ Association Executive and Board, Alumni Council, Senate and Faculty Councils
<p>Approval Route (Governance) (including meeting dates)</p>	<p>GFC Academic Planning Committee (May 11, 2016) – for recommendation</p> <p>General Faculties Council (May 30, 2016) – for recommendation</p> <p>Board Learning and Discovery Committee (June 2, 2016) – for recommendation</p> <p>Board of Governors (June 17, 2016) – for approval</p>
<p>Final Approver</p>	<p>Board of Governors</p>

Attachments:

1. Institutional Strategic Plan: For the Public Good (28 pages)
2. Letter of Transmittal for the Institutional Strategic Plan: For the Public Good – for reference and input only (1 page)



INSTITUTIONAL STRATEGIC PLAN
FOR THE PUBLIC GOOD

DRAFT

MAY 2016

The University of Alberta respectfully acknowledges that it is located on Treaty 6 territory.¹

¹Please note: This remains as placeholder text to be updated when an institutional territorial statement is finalized by the community.

DRAFT 3

INSTITUTIONAL STRATEGIC PLAN
FOR THE PUBLIC GOOD

MAY 2016 DRAFT

Vision

To inspire the human spirit through outstanding achievements in learning, discovery, and citizenship in a creative community, building one of the world's great universities for the public good.

Mission

Within a vibrant and supportive learning environment, the University of Alberta discovers, disseminates, and applies new knowledge for the benefit of society through teaching and learning, research and creative activity, community involvement, and partnerships. The University of Alberta gives a national and international voice to innovation in our province, taking a lead role in placing Canada at the global forefront.

Values

The University of Alberta community of students, faculty, staff, and alumni rely on shared, deeply held values that guide behaviour and actions. These values are drawn from the principles on which the University of Alberta was founded in 1908 and reflect a dynamic, modern institution of higher learning, leading change nationally and internationally.

Above all, **we value intellectual integrity, freedom of inquiry and expression, and the equality and dignity of all persons** as the foundation of ethical conduct in research, teaching, learning, and service.

We value **excellence** in teaching, research, and creative activity that enriches learning experiences, advances knowledge, inspires engaged citizenship, and promotes the public good.

We value **learners** at all stages of life and strive to provide an intellectually rewarding educational environment for all.

We value **academic freedom and institutional autonomy** as fundamental to open inquiry and the pursuit of truth.

We value **diversity, inclusivity, and equity** across and among our people, campuses, and disciplines.

We value **creativity and innovation** from the genesis of ideas through to the dissemination of knowledge.

We value the **history and traditions** of our university, celebrating with pride our people, achievements, and contributions to society.

At the University of Alberta, we begin with people—people with ideas, talent, and purpose. Then, we act.

We seek knowledge. We educate citizens. We ask the big questions. We push the limits of human understanding and knowledge. We engage with partners and communities close to home and around the world to lead positive change. We empower creative people to take risks and make imaginative leaps towards as yet undetermined futures.

Why? The answer is simple: We are a public university acting for the public good.

When we act, we provide meaningful educational experiences, promote innovative thinking, and develop original and compelling solutions that matter. When we lead, we tackle the most important local, national, and global challenges. When we excel, our work sparks and feeds widespread social, cultural, and economic benefits for others—indeed for the uplifting of the whole people.

In *For the Public Good*—our institutional strategic plan for the coming decade—we embrace and affirm our vision to inspire the human spirit through outstanding achievements in learning, discovery, and citizenship in a creative community, building one of the world's great universities for the public good.

We forge ahead, motivated and supported by the University of Alberta's 108-year history of leadership, achievement, and public service. Inspired by this plan, we will strive to achieve the following strategic goals:

BUILD a diverse, inclusive community of exceptional students, faculty, and staff from Alberta, Canada, and the world.

EXPERIENCE diverse and rewarding learning opportunities that inspire us, nurture our talents, expand our knowledge and skills, and enable our success.

EXCEL as individuals, and together, sustain a culture that fosters and champions distinction and distinctiveness in teaching, learning, research, and service.

ENGAGE communities across campuses, city and region, province, nation, and the world to create reciprocal, mutually beneficial learning experiences, research projects, partnerships, and collaborations.

SUSTAIN our people, our work, and the environment by attracting and stewarding the resources we need to deliver excellence to the benefit of all.

In pursuit of these shared goals, the University of Alberta will deepen our dedication to excellence and extend our record of public leadership, playing a lead role in building a better province, a better Canada, and a better world.

The University of Alberta is the province's leading educator, generator of new ideas, and engine of social, cultural, and economic prosperity. Created by one of the first acts of the legislature, our university is one of the province's most enduring and vital public institutions. As our name suggests, our history is bound to that of Alberta; the University of Alberta respectfully acknowledges that we stand on Treaty 6 Territory and the homelands of First Nations and Métis peoples. For more than a century, University of Alberta scholars have inspired graduates to become purposeful, active citizens and leaders. Our alumni—now numbering more than 260,000—have founded more than 70,000 organizations and businesses around the world, creating one and a half million jobs, nearly 400,000 in Alberta. Along with inspiring next-generation leaders, University of Alberta scholars have engaged in research and creative activities answering fundamental questions, building new industries and businesses, improving human health, fostering social, economic, and environmental change, and enhancing an innovative and vibrant arts and culture scene. They are world leaders in fields as diverse as energy, virology, literature, history, agricultural genomics and proteomics, and paleontology. Today, the University of Alberta is one of Canada's leading research universities. Standing with pride among the world's finest public institutions, the University of Alberta brings the ideas of Albertans to the world, and the world of ideas to Albertans.

BUILD

GOAL: Build a diverse, inclusive community of exceptional students, faculty, and staff from Alberta, Canada, and the world.

Through the development of strategic recruitment, retention, and renewal plans, the University of Alberta will build a community of exceptional students, educators, scholars, researchers, and staff from Alberta, Canada, and the world. We will foster an inclusive culture in which people excel through exchange and collaboration, enriched by the diversity of individuals, groups, disciplines, perspectives, approaches, and questions that characterize our community. We will sustain this culture and community through rich educational and life experiences in a supportive learning environment. We will engage Indigenous students and nations to create programs and spaces that acknowledge the complexities of Canada's history. We will celebrate the University of Alberta community and our achievements, enhancing our reputation in Alberta, across Canada, and around the world by defining, telling, and promoting our story.

To begin, we will attract outstanding students...

1. **OBJECTIVE:** Build a diverse, inclusive community of exceptional undergraduate and graduate students from Edmonton, Alberta, Canada, and the world.
 - i. **Strategy:** Develop and implement an undergraduate and graduate recruitment strategy to attract top students from across the diverse communities in Alberta and Canada, leveraging our strengths as a comprehensive research-intensive, multi-campus university with options for francophone and rural liberal arts education.
 - ii. **Strategy:** Develop and implement an undergraduate and graduate recruitment and retention strategy to attract Indigenous students from across Alberta and Canada.
 - iii. **Strategy:** Optimize our international recruiting strategies to attract well-qualified international students from regions of strategic importance, and enhance services and programs to ensure their academic success and integration into the activities of the university.
 - iv. **Strategy:** Ensure that qualified undergraduate and graduate students can attend the university through the provision of robust student financial support.

...educated by exceptional faculty...

2. **OBJECTIVE:** Create a faculty renewal program that builds on the strengths of existing faculty and ensures the sustainable development of the University of Alberta's talented, highly qualified, and diverse academy.
 - i. **Strategy:** Attract and retain a diverse complement of faculty and post-doctoral fellows from around the world, with initial focus on increasing the proportion of assistant professors.
 - ii. **Strategy:** Review, improve, and implement equity processes and procedures for recruiting and supporting faculty to ensure a balanced academy, representative of women, visible minorities, sexual and gender minorities, Indigenous peoples, and people with disabilities.
 - iii. **Strategy:** Stabilize long-term investments in contract academic staff by offering career paths that include the possibility of continuing appointments based on demonstrated excellence in teaching.
 - iv. **Strategy:** Support career transitions and encourage professors emeriti to continue to share their expertise and experience through active engagement with the university community.

...in collaboration with highly-skilled staff...

3. **OBJECTIVE:** Support ongoing recruitment and retention of a highly-skilled, diverse community of non-academic and administrative staff by enriching the University of Alberta's working environment.
 - i. **Strategy:** Create pathways for career mobility and progression of non-academic, administrative, and academic staff members, which include opportunities such as secondments, exchanges, and job shadows.
 - ii. **Strategy:** Review, improve, and implement equity processes and procedures for recruiting and supporting staff to ensure that all categories of staff are representative of women, visible minorities, sexual and gender minorities, Indigenous peoples, and people with disabilities.
 - iii. **Strategy:** Encourage, facilitate, and reward the sharing of best practices by non-academic, administrative, and academic staff across units, faculties, and campuses.

...at a university committed to respectful relations with First Nations, Métis, and Inuit peoples.

4. **OBJECTIVE:** Develop, in consultation and collaboration with internal and external community stakeholders, a thoughtful, respectful, meaningful, and sustainable response to the report of the Truth and Reconciliation Commission of Canada.
 - i. **Strategy:** Foster learning opportunities across our campuses that enable student, staff, and faculty participation in reconciliation.
 - ii. **Strategy:** Build the Maskwa House of Learning as a place of understanding, welcome, and cultural connection, where Indigenous and non-Indigenous students together can grow and celebrate the unique and proud histories of Indigenous peoples, and where Indigenous students can access social, cultural, and spiritual supports that enable their academic success.
 - iii. **Strategy:** Evaluate and measure the University of Alberta's response to the TRC's Calls to Action and ensure effectiveness on an ongoing basis.

As a community, we recognize that our future is built on shared values...

5. **OBJECTIVE:** Build and strengthen trust, connection, and a sense of belonging among all members of the university community through a focus on shared values.
 - i. **Strategy:** Support and enhance activities, initiatives, and traditions that bond alumni, students, staff, faculty, and professors emeriti to the university.
 - ii. **Strategy:** Celebrate and support diversity and inclusivity.
 - iii. **Strategy:** Identify and increase opportunities to engage alumni and volunteers as valued advisers, mentors, volunteers, and interested constituents.
 - iv. **Strategy:** Appreciate and value the different roles staff, students, post-doctoral fellows, and faculty play on our campuses so that the institution as a whole can further benefit from their diverse skills, perspectives, and experiences.
 - v. **Strategy:** Foster trust through mutually respectful dialogue between individuals, faculties, departments, administrative units, and campuses, and create opportunities to learn from each other's cultural variations.
 - vi. **Strategy:** Encourage and support institution-wide initiatives, services, and programs, such as arts and cultural activities, intramurals, student groups, volunteering, clubs, and centres, which bring students from all faculties into community with each other.

...and our story is built on the accomplishments and contributions of our people.

6. **OBJECTIVE:** Build and support an integrated, cross-institutional strategy to demonstrate and enhance the University of Alberta's local, national, and international story, so that it is shared, understood, and valued by the full University of Alberta community and its many stakeholders.
 - i. **Strategy:** Discover an institution-wide, comprehensive brand platform (reputation, identity, image, and component stories) around the core institutional narrative: its promise, its mission, and its impact.
 - ii. **Strategy:** Engage and advocate strategically with all levels and orders of government and other key stakeholders, and identify and demonstrate how university activities intersect with their goals and strategies.
 - iii. **Strategy:** Communicate, using both quantitative and qualitative evidence, how the University of Alberta serves as a cornerstone of the community bringing widespread economic and societal benefits to all Albertans, as well as to national and international partners and stakeholders.

Stories told by University of Alberta alumni often share a common thematic arc. That arc tells of students being inspired by exceptional professors to pursue excellence, stretch themselves in new ways, and take on the responsibilities of public service and leadership. Undergraduate and graduate students, along with professional, continuing, and lifelong learners, continue to pursue transformative learning experiences that reveal and nurture their talents and prepare them for success. They seek an education that is rich with experiential learning, interdisciplinary depth, research opportunities, and engagement with business, government, and community organizations. At the University of Alberta, we strive to answer learners' intellectual and professional aspirations. Arts and science programs form the foundation of the university's broad network of professional faculties and continuing education opportunities. Our multi-campus environment offers students the benefits of an intimate liberal arts education at Augustana Campus or an immersive francophone education at Campus Saint-Jean, while being connected to one of Canada's most highly respected research universities. This diversity of opportunity, combined with our international, multicultural, and Indigenous populations of students, faculty, and staff, builds global citizens—leaders with the imagination, critical eye, and passion to rethink the status quo, diversify economies, and reinvigorate society.

EXPERIENCE

GOAL: Experience diverse and rewarding learning opportunities that inspire us, nurture our talents, expand our knowledge and skills, and enable our success.

Pushing beyond the conventional, students, no matter their background, age, or stage of education, will experience learning as an integral part of all their activities at the University of Alberta. We will pay attention to the development of the whole person and will excel in providing learning environments that transform us, nurture our talents, expand our knowledge and skills, and enable our success. We will build innovative curricular and co-curricular experiential learning programs that engage students, faculty, and staff with issues, questions, and ideas relevant to community organizations, industry, and governments today. We will seek and sustain student success. We will mobilize the expertise of our faculty and expand access to educational experiences for continuing, professional, and lifelong learners.

By providing our students with exceptional experiences that link them to their futures, we will facilitate their success both within the curriculum...

7. **OBJECTIVE:** Increase graduate and undergraduate students' access to and participation in a broad range of curricular experiential learning opportunities that are well-integrated with program goals and enrich their academic experience.
 - i. **Strategy:** Increase students' experiential learning through mutually beneficial engagement with community, industry, professional, and government organizations locally, nationally, and internationally.
 - ii. **Strategy:** Develop global competency in our graduates through access to short- and long-term outbound international experiences.
 - iii. **Strategy:** Expand professional development opportunities for graduate students and post-doctoral fellows.

...and beyond.

8. **OBJECTIVE:** Create and facilitate co-curricular and extracurricular learning experiences for undergraduate and graduate students that enable their self-discovery and give them the skills to use their talents, creativity, and curiosity to contribute as future citizens and leaders.
 - i. **Strategy:** Increase the opportunities for all undergraduate and graduate students to experience the benefits of living on campus, including guaranteeing the offer of a place in residence to every first-year undergraduate student.
 - ii. **Strategy:** Expand and encourage student mentorship programs.
 - iii. **Strategy:** Support the roles of the Graduate Students' Association and Students' Union, along with other student groups, in the promotion of extracurricular programs that create a sense of community and support the learning environment.
 - iv. **Strategy:** Expand access to leadership development programs for undergraduate and graduate students, such as the Peter Lougheed Leadership College.
 - v. **Strategy:** Continue to support and enhance a student-athlete-centred university sport environment that facilitates the academic, athletic, and personal development of students.

Our multi-campus learning environment provides exciting opportunities to build a great and diverse university...

9. **OBJECTIVE:** Enhance, support, and mobilize the unique experiences and cultures of all University of Alberta campuses to the benefit of the university as a whole.
 - i. **Strategy:** Facilitate and deepen inter-campus connections, communication, and collaborations with Augustana Campus, and ensure that it is strengthened as a leading liberal arts college, and as a living laboratory for teaching and learning innovation, to the benefit of the entire university.
 - ii. **Strategy:** Highlight and strengthen the role that Campus Saint-Jean plays in reflecting and reinforcing the linguistic duality of Canada as well as the worldwide multi-ethnic Francophonie, by positioning the university locally, nationally, and internationally as a destination of choice for francophone and bilingual students, and by progressively improving Faculté Saint-Jean students' and applicants' access to French-language services.
 - iii. **Strategy:** Enhance collaborative, community-based learning activities and build on the relationships that have been developed through the programs offered at Enterprise Square and South Campus.

...opening doors to a lifetime of learning experiences.

10. OBJECTIVE: Expand access to and engagement in the University of Alberta for learners engaging in continuing and professional education programs, experiences, and lifelong learning activities.

- i. **Strategy:** 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.
- ii. **Strategy:** Create a wide range of opportunities, both in person and virtual, for broad, learning-centred programs for alumni and other communities of learners engaging in continuing and professional education.

At the University of Alberta, excellence is both a goal and an attitude. We aspire to achieve the first and to inspire the latter. Motivated to excel, University of Alberta students, faculty, post-doctoral fellows, and staff have received many academic awards and distinctions over the history of the university, including 71 Rhodes Scholarships, 15 Banting Post-doctoral Fellowships, 41 3M National Teaching Fellowships, and three Governor General Awards for Literature. Many in our community are members of the Order of Canada (60), fellows of the Royal Society of Canada (138), members of the Alberta Order of Excellence (20), and winners of the Queen Elizabeth II Diamond Jubilee Medal (11)—honours that recognize not only outstanding research achievement, but also exceptional service and contribution to society. Researchers across the university consistently attract more than \$450 million in external research funding each year. When we excel as researchers, we create knowledge that translates into social, technical, and artistic innovations, new enterprises and community organizations, life-saving medical treatments and procedures, critically needed environmental protections, and more. When we excel as researchers, teachers, and students, we empower a culture that values curiosity, critical thinking, diversity, hard work, and ambition—all vital to advancing knowledge and inciting change for the public good. When we excel on the global stage, we connect Alberta and Canada to the world.

EXCEL

GOAL: Excel as individuals, and together, sustain a culture that fosters and champions distinction and distinctiveness in teaching, learning, research, and service.

To excel and achieve our full potential as an institution and as individuals, the University of Alberta will sustain a learning and research culture that inspires, supports, and champions high professional standards and outstanding achievements in basic and applied research and scholarship, creative activity, administration, and governance. We will ensure that learning experiences at our university are of the highest quality, based on a practice of continuous improvement and innovation in teaching. From our broad-based strength as a comprehensive, research-intensive public university, we will highlight current and emerging areas of global distinction and leadership by building a portfolio of signature areas that distinguish us from among our peer institutions and exemplify the University of Alberta's capacity to engage in big questions and global challenges.

The foundation of our university is our breadth of inquiry...

11. **OBJECTIVE:** Advance the University of Alberta's reputation for research excellence by pursuing fundamental and original questions and ideas, pushing the frontiers of knowledge, inspiring creative experimentation, driving innovation, and advancing society.

- i. **Strategy:** Encourage and champion achievements in a broad base of fundamental and applied research, scholarship, and creative activities.
- ii. **Strategy:** Support a culture of creativity, innovation and entrepreneurship among students, faculty, and staff where contributions to all sectors of society are rewarded, valued, and celebrated.
- iii. **Strategy:** Nurture, enable, and reward public intellectuals.
- iv. **Strategy:** Support and enhance translational initiatives that include TEC Edmonton and eHub, among others.
- v. **Strategy:** Advance the University of Alberta's reputation for excellence in research through a coordinated recognition, awards, and honours program.

...from which we will build areas of distinction.

12. OBJECTIVE: Build a portfolio of signature research and teaching areas where the University of Alberta is or will be recognized as a global leader.

- i. **Strategy:** Identify and support established and emerging areas of research and teaching distinction and distinctiveness, using the following criteria:
 - national and international stature for excellence, relevance, and impact
 - critical mass—opportunity for broad, interdisciplinary engagement
 - grassroots leadership, participation, and support from within our university community
 - stakeholder partnerships
 - research partners (international, community, government, industry)
 - capacity to shape and align with federal and provincial research funding priorities
 - student demand
 - physical and operational capacity
 - geographic or situational relevance
- ii. **Strategy:** Leverage provincial, national, and international funding programs and partnership opportunities that support the activities, impact, influence, and reach of signature areas.
- iii. **Strategy:** Encourage and facilitate knowledge and technology transfer to ensure that society can realize the benefits of intellectual capital arising from research and creative endeavours.
- iv. **Strategy:** Develop processes for identifying both emerging and declining areas of distinction and global leadership to sustain the vibrancy of the university's portfolio of signature areas.

Within a supportive, creative culture, we will foster excellence in research...

13. OBJECTIVE: Enable University of Alberta researchers to succeed and excel.

- i. **Strategy:** Expand services and supports for researchers at all career stages (undergraduate and graduate students, post-doctoral fellows, and faculty), including the development of research mentorships and Grant Assist programs.
- ii. **Strategy:** Maintain and pursue partnerships across the global academy to expand research and funding opportunities for our researchers and thus increase their capacity for success.
- iii. **Strategy:** Pursue strategies to increase the success of graduate students and post-doctoral fellows in national grant, scholarship, and award programs.
- iv. **Strategy:** Secure and sustain funding for the continuous evolution and operation of research facilities and resources (e.g., libraries, labs, Research Services Office, museums and collections, performance spaces, fine arts facilities, and U of A Press) to meet the changing needs of our broad-based research community.

- v. **Strategy:** Participate fully in matching programs and maintain and pursue memberships in relevant funding organizations to expand and leverage funding opportunities for the university and to increase our researchers' reach, influence, and impact.
- vi. **Strategy:** Seek and attract an exceptional cohort of post-doctoral fellows and support their participation in and contribution to the university's research environment.

...and teaching...

14. OBJECTIVE: Inspire, model, and support excellence in teaching and learning.

- i. **Strategy:** Foster, encourage, and support innovation and experimentation in curriculum development, teaching, and learning at the individual, unit, and institutional levels.
- ii. **Strategy:** Adopt a set of core graduate attributes, skills, and competencies at both the undergraduate and graduate level; develop strategies for implementing them in specific disciplines and programs; and monitor graduate outcomes to ensure continuous improvement.
- iii. **Strategy:** Provide robust supports, tools, and training to develop and assess teaching quality, using qualitative and quantitative criteria that are fair, equitable, and meaningful across disciplines.
- iv. **Strategy:** Create and support an institutional strategy that enables excellence in the design, deployment, and assessment of digital learning technologies.
- v. **Strategy:** Develop and implement programs and processes to assure high quality, collegial graduate student and post-doctoral fellow supervision and mentorship.

...through professional development.

15. OBJECTIVE: Foster a culture of excellence by enriching learning and professional development opportunities for staff, faculty, and post-doctoral fellows.

- i. **Strategy:** Expand access to professional development programs and learning opportunities for staff, faculty, and post-doctoral fellows.
- ii. **Strategy:** Establish mentorship programs at the institutional, faculty, and unit levels to nurture and support staff, faculty, and post-doctoral fellows throughout their professional careers.
- iii. **Strategy:** Support continued development of and participation in leadership programs for staff, faculty, and post-doctoral fellows.

From the earliest years when professors and staff travelled to rural communities to lecture on Shakespeare, agricultural practices, and more, the University of Alberta has been deeply embedded in communities both near and far. In 1908, founding president Henry Marshall Tory reminded Albertans that “the modern state university has sprung from a demand on the part of the people themselves” and promised “that knowledge shall not alone be the concern of scholars. The uplifting of the whole people shall be its final goal.” He challenged future generations not to forget this ultimate goal. It has not been forgotten. We continue to seek mutually beneficial, reciprocal connections and collaborations with partners throughout the global academy, as well as with local, rural, and Indigenous communities. We work with industry, business, and government to find solutions to shared problems. We engage with diverse partners to conduct and translate learning and research into evidence-based public policy, improved industrial practices, changed attitudes, and healthier, more compassionate communities. We sit at the centre of the province’s Campus Alberta and Edmonton’s City of Learners, working with our post-secondary partners to provide Albertans with multiple integrated pathways to achieve their educational goals and aspirations. We build multi-level, cross-sectoral national and international partnerships with high-ranking universities and institutions across Canada and the world. Through these efforts and more, we reaffirm Tory’s founding promise, and continue to grow as an university that endeavours to create and disseminate knowledge and scholarship for the benefit and uplifting of the whole people.

ENGAGE

GOAL: 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.

To serve the public well, the University of Alberta will excel at listening, connecting, and collaborating with key partners across all sectors of society. We will strive to be relevant as well as excellent and actively disseminate what we learn and discover for the benefit of the public good. We will engage across disciplines, campuses, faculties, and units to create interdisciplinary learning experiences for our students that prepare them to face the complex nature of today's challenges and workplaces. We will continue to build and deepen mutually beneficial and reciprocal partnerships with local, provincial, national, and international communities, agencies, industries, businesses, and organizations. In doing so, we will expand and sustain the University of Alberta's leadership in major national and international initiatives and networks that increase our reach and influence as one of Canada's leading research universities.

Our ability to contribute to society will flow in large measure from our ability to connect with our communities...

16. **OBJECTIVE:** Enhance, increase, and sustain reciprocal, mutually beneficial community relations, community engagement, and community-engaged research and scholarship that will extend the reach, effectiveness, benefit, and value of our university-community connections.
- i. **Strategy:** Identify and embrace opportunities to build, strengthen, and extend the University of Alberta's connections to and engagement with external stakeholders, including the general public, neighbouring communities, ethnic and cultural communities, and other communities of practice.
 - ii. **Strategy:** Develop an integrated institutional strategy for fostering and rewarding community-engaged research and evaluation that is intentionally collaborative from research question design through to knowledge mobilization.
 - iii. **Strategy:** Engage with government, community, industry, business, and the post-secondary sector to address shared local, provincial, national, and global challenges.
 - iv. **Strategy:** Continue to build mutually beneficial, authentic relationships with alumni and donors.
 - v. **Strategy:** 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.

...and to build interdisciplinary connections...

17. **OBJECTIVE:** Facilitate, build, and support interdisciplinary, cross-faculty, and cross-unit engagement and collaboration.

- i. **Strategy:** Identify and remove systemic barriers to interdisciplinarity, and where necessary, expand or create policies, resources, infrastructure, and strategies to encourage and reward academic and administrative partnerships and collaborations.
- ii. **Strategy:** Incent the development of interdisciplinary and cross-faculty graduate and undergraduate teaching and learning initiatives, including programs, courses, and embedded certificates.
- iii. **Strategy:** Develop mechanisms for identifying research expertise at the institution for more effective cultivation of emerging research opportunities and funding programs, particularly those requiring interdisciplinary research teams.

...that support institutional partnerships locally, nationally, and internationally.

18. **OBJECTIVE:** Seek, build, strengthen, and sustain partnerships with local, national, or international research agencies, governments, government ministries and agencies, universities, Indigenous communities, libraries, not-for-profits, industry, business, and community organizations.
- i. **Strategy:** Provide leadership in Alberta's post-secondary sector and support integration, collaboration, and partnership across the province's six-sector model to the benefit of all Albertans.
 - ii. **Strategy:** Participate and provide leadership in municipal, provincial, national, and international consortia, networks, and programs.
 - iii. **Strategy:** Encourage municipal, provincial, national, and international collaborations, partnerships, and MOUs at the institutional, faculty, department, unit, and individual levels.
 - iv. **Strategy:** Seek, enhance, and support partnerships with industry, including small and medium enterprises.
 - v. **Strategy:** Work closely with key provincial partners and government agencies, including members of Campus Alberta, Alberta Health Services, Alberta Innovates, The Alberta Library, NEOS, etc., to undertake mutually beneficial research, and where possible, co-ordinate, streamline, and deliver shared systems, services, and processes to the benefit of all Albertans.

As a proud public university, the University of Alberta not only serves the people of our province and our country, but also receives their steadfast support. We earn that support and trust because of the quality of our work and the benefits we bring to all Albertans and Canadians as a leading global institution founded on more than a century of excellence in teaching, learning, research, and service. We maintain that support and trust because we take seriously our responsibility to steward and sustain public investments in our people, operations, infrastructure, and systems. One of Canada's Greenest Employers since 2009, we strive to model sustainability as an integral part of university life, recognizing that the health and well-being of our people are tied to the health and well-being of our environment, economy, and social systems. The University of Alberta is a recognized leader in environmental sustainability and energy management in practice as well as in teaching and research. We promote a culture of continuous improvement in administration and governance, and ensure that our resources are used and sustained effectively to ensure the long-term vibrancy of our institution. We do this to the benefit of Campus Alberta as a whole: we share critical research infrastructure, provide systems and services to smaller institutions, facilitate student mobility, and build partnerships across the province to ensure that all Albertans have access to their provincial university and the benefits we offer.

SUSTAIN

GOAL: 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.

To achieve our strategic goals, the University of Alberta will attract and steward the resources we need to excel and deliver our core teaching and research mission at the high standard expected by all Albertans. We will build on our capacities for securing new sources of operating, capital, research, and philanthropic funding. We will continue to model and advance teaching and learning in the area of environmental sustainability on our campuses and in our work. We must sustain our people by promoting health, wellness, and safety as a defining feature of the University of Alberta's learning and working experience, and by maintaining and enhancing the university's essential teaching, learning, and research infrastructure. Continuous improvement and cross-unit engagement and co-operation will define our approach to governance and administration to ensure that our systems, policies, and procedures facilitate the achievement of our shared goals.

Our success as an institution will be determined by our support for our people...

19. **OBJECTIVE:** Prioritize and sustain student, faculty, and staff health, wellness, and safety by delivering proactive, relevant, responsive, and accessible services and initiatives.
- i. **Strategy:** Develop an integrated, institution-wide health and wellness strategy, which increases the reach and effectiveness of existing health and wellness resources, programs, and services, and promotes resilience and work-life balance.
 - ii. **Strategy:** Bolster resources for and increase access to mental health programs that provide support to students, faculty, and staff.
 - iii. **Strategy:** Endorse a strong culture of safety awareness, knowledge, planning, and practice to ensure the safety of students, employees, and visitors to our campuses.

...and our commitment to sustainability.

20. **OBJECTIVE:** Continue to build and support an integrated approach to social, economic, and environmental sustainability that incorporates teaching and learning, research, outreach, capacity building, and the operations that support them.

- i. **Strategy:** Integrate sustainability into teaching, learning, research, and outreach in ways that foster critical, interdisciplinary, long-term systemic thinking on sustainability.
- ii. **Strategy:** Embed social, economic, and environmental sustainability into the development and care of the university's natural and built environments.
- iii. **Strategy:** Enhance awareness of, and engagement with, the university's environmental sustainability features, practices, and resources across University of Alberta campuses and external communities.

Our commitment extends to administration and governance...

21. **OBJECTIVE:** Encourage continuous improvement in administrative, governance, planning and stewardship systems, procedures, and policies that enable students, faculty, staff, and the institution as a whole to achieve shared strategic goals.

- i. **Strategy:** Encourage transparency and improve communication across the university through clear consultation and decision-making processes, substantive and timely communication of information, and access to shared, reliable institutional data.
- ii. **Strategy:** Ensure that individual and institutional annual review processes align with and support key institutional strategic goals.
- iii. **Strategy:** Consolidate unit review and strategic planning processes, and where possible, align with accreditation processes, to ensure efficient assessment practices.
- iv. **Strategy:** Facilitate easy access to and use of university services and systems; reduce duplication and complexity; and encourage cross-institutional administrative and operational collaboration.
- v. **Strategy:** Develop a set of equitable, meaningful, and relevant measures to monitor our progress toward strategic goals and develop the tools required to report on them.

...financial resources....

22. **OBJECTIVE:** Secure and steward financial resources to sustain, enhance, promote, and facilitate the university's core mission and strategic goals.

- i. **Strategy:** Seek and secure resources needed to achieve and support our strategic goals.
- ii. **Strategy:** Ensure a sustainable budget model to preserve and enhance our core mission and reputation for excellence in teaching, learning, research, and community engagement.
- iii. **Strategy:** Ensure responsible and accountable stewardship of the university's resources and demonstrate to government, donors, alumni, and community members the efficient and careful use of public and donor funds.

...and infrastructure.

23. **OBJECTIVE:** Ensure that the University of Alberta's campuses, facilities, utility, and information technology infrastructure can continue to meet the needs and strategic goals of the university.

- i. **Strategy:** Secure and sustain funding to plan, operate, expand, renew, and optimize the use of campus infrastructure to meet evolving teaching and research priorities.
- ii. **Strategy:** Build, operate, and maintain undergraduate and graduate student housing to support our students' academic success and sense of belonging to the university community.
- iii. **Strategy:** Provide effective IT solutions and enhancements that enable secure and reliable delivery of high-quality programs and services.
- iv. **Strategy:** Engage and strategically partner with stakeholders to explore and develop joint-use projects.

The University of Alberta, one of this province's oldest public institutions, anchors Alberta's integrated, diverse post-secondary education sector. We stand among Canada's premier research-intensive, medical-doctoral universities. Our international ranking confirms our placement with the finest public universities in the world. As our mission states, the University of Alberta gives a national and international voice to innovation in our province, taking a lead role in placing Canada at the global forefront.

Leadership, we know, requires action and purpose. Leadership demands that we build on our existing foundational strengths; experience and disseminate the power of transformative ideas and opportunities; excel in all that we do; engage across disciplines, communities, and sectors; and sustain the vibrancy of our multi-campus communities.

As a community, we have developed a long-term, multi-layered plan. Some of the goals, objectives and strategies envisioned here can be implemented immediately; others will unfold over the course of the next decade. We will regularly measure our progress and anticipate the need for an in-depth review in year five.

At the highest level, "For the Public Good" is meant to empower and enable each member of the University of Alberta to build, experience, excel, engage, and sustain. The successful implementation of the plan will depend on all of us, individually and collectively, taking action.

Together, we will propel this great institution—the University of Alberta—to a place of unprecedented leadership, and in common cause, we will build a better province, a better Canada, and a better world.

INSTITUTIONAL STRATEGIC PLANNING ADVISORY COMMITTEE

David Turpin (Co-Chair)

Steven Dew (Co-Chair)

Lorne Babiuk (Vice-Chair)

Tim Caulfield

Walter Dixon

Joseph Doucet

Leanne Garon

Lars Hallstrom

Tammy Hopper

Jacqueline Leighton

Mackenzie Martin

Mary Persson

Fahim Rahman

Ann Revill

Jeremy Richards

Christie Schultz

Arya Sharma

Kisha Supernant

Kimberly TallBear

Jane Traynor

Helen Vallianatos

Sheena Wilson

Project leads:

Anne Bailey

Amy Dambrowitz

Project support:

Bobbi Schiestel



UAB.CA/STRATEGIC-PLAN | ENGAGE@UALBERTA.CA

To the University of Alberta community:

Please find the final draft of “For the Public Good” attached. Thank you for your engagement, advice, and feedback throughout the months of consultation and preparation of the document.

As a community, we have developed one long-term, multi-layered plan to guide the overall decision-making and governance processes of the University of Alberta. Some of the goals, objectives and strategies envisioned here can be implemented immediately; others will unfold over the course of the next decade. We anticipate the need for an in-depth review in year five.

At the highest level, “For the Public Good” is meant to empower and enable each member of the University of Alberta to build, experience, excel, engage, and sustain. The successful implementation of the plan will depend on all of us, individually and collectively, taking action.

Following approval of “For the Public Good,” we will have three immediate tasks.

The first will be to determine priorities for the short, medium, and long-term. The president and provost will lead this process and assign responsibility for specific goals at the institutional level. At the same time, leaders across the university will begin to develop, or continue to work towards, parallel strategic priorities and objectives that flow from the plan for specific faculties, departments, and units.

The second will be to develop an equitable, meaningful, and relevant set of qualitative and quantitative measures by which we will monitor our progress and success on an annual basis over the coming years. These measures will be determined by the president and provost in consultation with the Institutional Strategic Planning Advisory Committee, Board of Governors, vice-presidents and deans, General Faculties Council, and other key stakeholders across the university.

The third will be to create a transparent, effective, and sustainable annual institutional reporting process to ensure that we hold ourselves accountable to the plan at all levels of the university. As the title of this plan suggests, we must also develop avenues for internal and external communication of the university’s annual progress to demonstrate in detailed, concrete ways how we, as a public university, are indeed acting for the public good.

Once the plan is approved, we will continue to communicate frequently on the progress and outcomes of these initial steps.

David H. Turpin
President and Vice-ChancellorSteven Dew
Provost and Vice-President (Academic)

OUTLINE OF ISSUE

Agenda Title: **Board Committee Appointments**

Motion: THAT the Board of Governors, on the recommendation of the Board Chair, Mr Michael Phair, approve Board Committee appointments, as set forth in Attachment 1 to the agenda documentation.

Item

Action Requested	<input checked="" type="checkbox"/> Approval <input type="checkbox"/> Recommendation <input type="checkbox"/> Discussion/Advice <input type="checkbox"/> Information
Proposed by	Mr Michael Phair, Chair, Board of Governors
Presenter	Michael Phair, Board Chair; Marion Haggarty-France, University Secretary
Subject	Appointments to Board Committees

Details

Responsibility	Chair of the Board of Governors
The Purpose of the Proposal is (please be specific)	To consider revisions to the annual appointment roster to Board Committees.
The Impact of the Proposal is	To ensure that Committee membership reflects the appropriate Terms of Reference and also reflects upcoming changes to Board membership.
Replaces/Revises (eg, policies, resolutions)	Replaces the 2015-2016 Committee Membership List approved by the Board on May 13, 2016.
Timeline/Implementation Date	Effective upon approval
Estimated Cost	n/a
Sources of Funding	n/a
Notes	The Board of Governors annually reviews the recommendations of the Board Chair for appointments to Board Standing and Other Committees. Other appointments are made as required.

Alignment/Compliance

Alignment with Guiding Documents	Mandates and Roles for the Board of Governors, <i>Dare to Discover</i> , Comprehensive Institutional Plan
Compliance with Legislation, Policy and/or Procedure Relevant to the Proposal (please quote legislation and include identifying section numbers)	<p><u>The Board's General Terms of Reference for Board Standing Committees, Sections 3 and 4 state:</u></p> <p>3. <i>A member of a Committee shall be appointed by the Board for a term commencing on a date selected by the Board and expiring on the earliest of:</i></p> <ul style="list-style-type: none"> <i>(i) the effective date of the resignation of that member from the Board;</i> <i>(ii) the effective date of the resignation of that member from that Committee;</i> <i>(iii) a date selected by the Board;</i> <i>(iv) the expiry date of the term of the appointment of a non-Board member to the Committee; and</i> <i>(v) the effective date of a general appointment of all members to that committee (ordinarily the first Board meeting in June).</i> <p><i>A member of a Committee is eligible to be reappointed to that Committee.</i></p> <p>4. <i>There shall be members of each Committee who are Board members; non-Board members may be drawn from the University Senate and elsewhere within the University or from the community as the Board considers may be appropriate or as may be provided in the Committee's terms of reference.</i></p>

Item No. 5a

	<i>Where the terms of reference of a Committee provide for a number of members in excess of those specifically required to be represented on the Committee, additional members may, subject to the foregoing, be appointed from any constituency.</i>
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Routing (Include meeting dates)

Consultative Route (parties who have seen the proposal and in what capacity)	Board Chair Board Committee Chairs University Governance
Approval Route (Governance)	Board of Governors, June 17, 2016 (for approval)
Final Approver	Board of Governors, June 17, 2016

Attachment:

1. Proposed 2016-2017 Board of Governors Committee Membership (1 page) – for approval
2. Excerpts from Board of Governors Committees' Terms of Reference re committee composition (7 pages)

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

AUDIT COMMITTEE

Chair: <vacant>
Vice-Chair: Dick Wilson
*Jon Chia (June 30, 2018)
~~*Gordon Clanachan (June 30, 2016)~~
Jane Halford
Shenaz Jeraj
*Stuart Lee (August 30, 2016-2019)
Nizar Somji
~~Robert Teskey~~ (effective July 23, 2016)

FINANCE & PROPERTY COMMITTEE

Chair: Dick Wilson
Vice-Chair: Steven LePoole
Faiza Billo
*Robert Borelli (June 30, 2017)
David Cooper
Sarah Ficko
Barry James
Fahim Rahman

HUMAN RESOURCES & COMPENSATION COMMITTEE

Chair: ~~Robert Teskey~~ James Heelan (effective July 23, 2016)
Vice-Chair: ~~James Heelan~~ <vacant>
Shenaz Jeraj
Ray Muzyka
Dick Wilson
*Robert Teskey (effective July 23, 2016)

INVESTMENT COMMITTEE

Chair: *Dave Lawson (June 30, 2017)
Vice-Chair: *Jim Drinkwater (June 30, 2016-2019)
~~*Ken Bancroft (June 30, 2016)~~
~~*Barbara Belch (June 30, 2016)~~
*Derek Broderson (June 30, 2019)
*John Butler (June 30, 2016-2019)
*Gordon Clanachan (June 30, 2019)
Jane Halford
James Heelan
*Allister McPherson (June 30, 2017)
*Sandy McPherson (June 30, 2018)
*Peter Pontikes (June 30, 2019)

LEARNING AND DISCOVERY COMMITTEE

Chair: Shenaz Jeraj
Vice-Chair: Ray Muzyka
Sarah Ficko
LeRoy Johnson
Rob Parks
Fahim Rahman
Jeremy Richards

SAFETY, HEALTH & ENVIRONMENT COMMITTEE

Chair: Steven LePoole
Vice-Chair: *Gordon Winkel (June 30, 2016-2019)
Faiza Billo
Colin Champagne
David Cooper
*Dave Ferro (December 13, 2016)
Sarah Ficko
LeRoy Johnson
*William Lau (June 30, 2016-2017)

UNIVERSITY RELATIONS COMMITTEE

Chair: ~~Robert Teskey~~ Rob Parks (effective July 23, 2016)
Vice-Chair: ~~Rob Parks~~ <vacant>
Faiza Billo
Colin Champagne
Sarah Ficko
Barry James
LeRoy Johnson
*Catrin Owen (June 30, 2017)
Jeremy Richards
Nizar Somji
* <vacant>

Ex Officio Members on all Board Committees:

Michael Phair, Board Chair
David Turpin, President
~~Ralph Young~~ Douglas Stollery, Chancellor

BOARD REPRESENTATION ON UNIVERSITY COMMITTEES

Senate: ~~James Heelan~~ <vacant>, Shenaz Jeraj
Edmonton Community Foundation Nominating Committee: Rob Parks (to June 30, 2017)
University Properties Trust Board of Directors: <vacant>, <vacant>

* Denotes External Member on a Board Committee



Audit Committee

COMPOSITION OF COMMITTEE

- (a) Voting Members appointed by the Board (Ordinarily a maximum of 12)
- (1) At least 2 Board members from the membership categories identified by the Alberta *Post-Secondary Learning Act* (the Act) as general public, alumni and senate ; and
 - (2) At least 2, but no more than 8, members of the general public
 - (3) The Board Chair, by virtue of office
 - (4) The Chancellor, by virtue of office
- (b) No member of the staff (academic or non-academic) nor any student of the University shall sit as a member of the Committee.
- (c) One member of the Committee shall also serve on the Board Finance and Property Committee.
- (d) The Board of Governors shall appoint the Committee Chair from the Committee membership category 2(a)(1), upon the recommendation of the Board Chair
- (e) The Committee appoints the Committee Vice-Chair from the Committee membership category Section 2a(1) of these Terms of Reference, upon the recommendation of the Board Chair and the Committee Chair. The Vice-Chair undertakes and discharges all duties of the Chair in the absence of the Chair.
- (f) A quorum of the Committee shall be 50% of the members listed in 2(a)(i) and (ii) of the Terms of Reference, one of whom must be a Board Member.
- (g) The majority of members of the audit committee should be financially literate and at least three members should have accounting or related financial expertise. Financial literacy requirements that may be considered include:
- i. The ability to read, comprehend and analyze the financial statements and the notes to the financial statements.
 - ii. The ability to understand accounting policies, estimates and judgments when these are explained by management and the external auditor.
 - iii. An understanding of the business of the University and any unique features that may impact the accounting policies.
 - iv. Knowledge and understanding of the strategies that the University has adopted, especially the risks inherent with new strategies.
 - v. An ability to understand the University's risk environment.



Finance and Property Committee

1. COMPOSITION OF THE COMMITTEE

- a) Voting Members appointed by the Board (ordinarily a maximum of 11 voting members):
- (1) Two Board members from the membership categories identified by the *Alberta Post-Secondary Learning Act (the Act)* as *general public, alumni* and *Senate*
 - (2) A Board member from the membership category identified by the Act as *academic staff of the University*
 - (3) A Board member from the membership category identified by the Act as *non-academic staff of the University*
 - (4) Two Board members from the membership category identified by the Act as *students nominated by the council of the students association* or as *graduate student nominated by the council of the association*
 - (5) One other member of the Board of Governors
 - (6) A member of the general public with specific expertise in a field of interest to the Committee
 - (7) The Board Chair, by virtue of office
 - (8) The President and Vice-Chancellor, by virtue of office
 - (9) The Chancellor, by virtue of office
- c) One of the members from the Board's constituencies of general public, or the Senate or the Alumni Association who is a member of the Committee shall also serve as a member of the Audit Committee.
- d) The Board of Governors shall appoint the Committee Chair from the Committee membership category 2(a)(1), upon the recommendation of the Board Chair.
- e) The Committee shall designate the Vice-Chair from the Committee membership upon the recommendation of the Board Chair and the Committee Chair. The Vice-Chair undertakes and discharges all duties of the Chair in the absence of the Chair.



Human Resources and Compensation Committee – Pending Approval

2. COMPOSITION OF COMMITTEE

- (a) Voting Members appointed by the Board (ordinarily a maximum of 9-10 voting members):
- (1) Up to six Board members from the membership categories identified by the Alberta Post-Secondary Learning Act (the Act) as general public, alumni and senate. There shall be no board members on this committee representing academic staff, non-academic staff or students
 - (2) **If required, a member of the general public with specific expertise in a field of interest to the Committee, to ensure the committee has the appropriate balance of skills and competencies;**
- (~~3~~) The Board Chair, by virtue of office
(~~3~~) The President and Vice-Chancellor, by virtue of office
(~~4~~) The Chancellor, by virtue of office
- (b) The Board of Governors shall appoint the Committee Chair from the Committee membership category 2(a)(1), upon the recommendation of the Board Chair.
- (c) The Committee shall designate the Vice-Chair from the Committee membership upon the recommendation of the Board Chair and the Committee Chair. The Vice-Chair undertakes and discharges all duties of the Chair in the absence of the Chair.



Investment Committee

COMPOSITION OF COMMITTEE

- a) Voting Members appointed by the Board (ordinarily a maximum of 13 voting members)
 - (1) Two Board members from the membership categories identified by the *Alberta Post-Secondary Learning Act (the Act)* as *general public, alumni* and *Senate* subject to 2 (c) below
 - (2) Three to eight members of the general public
 - (3) The Board Chair, by virtue of office
 - (4) The President and Vice-Chancellor, by virtue of office
 - (5) The Chancellor, by virtue of office

- c) No member of the staff (academic or non-academic) nor any student of the University shall sit as a member of the Committee.

- d) The Board of Governors shall appoint the Committee Chair from the Committee membership category 2(a)(1) or 2(a)(2), upon the recommendation of the Board Chair.

- e) The Committee shall designate the Vice-Chair from the Committee membership upon the recommendation of the Board Chair and the Committee Chair. The Vice-Chair undertakes and discharges all duties of the Chair in the absence of the Chair.

- f) A skills/competency matrix of the membership will be maintained to assist the Board of Governors in the appointment of Voting Members.



Learning and Discovery Committee

2. COMPOSITION OF THE COMMITTEE

- a) Voting Members appointed by the Board (ordinarily a maximum of 10 voting members)
 - i) A Board member from the membership category identified by the Post-Secondary Learning Act (*the Act*) as *academic staff of the University*;
 - ii) A Board member from the membership category identified by the Act as an *undergraduate student nominated by the council of the undergraduate student association*;
 - iii) A Board member from the membership category identified by the Act as a *graduate student nominated by the council of the graduate student association*;
 - iv) Four Board members from the membership categories identified by the Act as general public, alumni and senate;
 - v) The Board Chair, by virtue of office
 - vi) The President and Vice-Chancellor, by virtue of office
 - vii) The Chancellor, by virtue of office

- b) The Board of Governors shall appoint the Committee Chair from the Committee membership category 2 a) iv), upon recommendation of the Board Chair,

- c) The Committee shall designate the Vice-Chair from the Committee membership upon the recommendation of the Board Chair and the Committee Chair. The Vice-Chair undertakes and discharges all duties of the Chair in the absence of the Chair.



Safety, Health and Environment Committee

1. COMPOSITION OF COMMITTEE

- b) Voting Members appointed by the Board (ordinarily a maximum of 12 voting members)
- (1) Two Board members from the membership categories identified by the *Alberta Post-Secondary Learning Act (the Act)* as *general public, alumni* and *Senate*
 - (2) A Board member from the membership category identified by the Act as *academic staff of the University*
 - (3) A Board member or designate from the membership category identified by the Act as *students nominated by the council of the students association*
 - (4) A Board member or designate from the membership category identified by the Act as *graduate student nominated by the council of the association*
 - (5) Board member or designate from the membership category identified by the Act as *member of the non-academic staff*
 - (6) Two members of the general public with specific expertise in the area of environmental health and safety.
 - (7) A member of the general public with specific expertise in the area of non-clinical community health
 - (8) The Board Chair, by virtue of office
 - (9) The President and Vice-Chancellor, by virtue of office
 - (10) The Chancellor, by virtue of office
- c) The Board of Governors shall appoint the Committee Chair from the Committee membership category 2(a)(1), upon the recommendation of the Board Chair.
- d) The Committee shall designate the Vice-Chair from the Committee membership upon the recommendation of the Board Chair and the Committee Chair. The Vice-Chair undertakes and discharges all duties of the Chair in the absence of the Chair.



University Relations Committee

COMPOSITION OF THE COMMITTEE

- a. Voting Members appointed by the Board (Ordinarily a maximum 12 voting members)
- (1) Three Board members from the membership categories identified by the *Alberta Post-Secondary Learning Act (the Act)* as *general public, alumni* and *Senate*
 - (2) A Board member from the membership category identified by the Act as *academic staff of the University*
 - (3) A Board member from the membership category identified by the Act as *member of the non-academic staff*
 - (4) A Board member from the membership category identified by the Act as *students nominated by the council of the students association*
 - (5) The Board member from the membership category identified by the Act as *graduate student nominated by the council of the association*
 - (6) Two members of the general public
 - (7) The Board Chair, by virtue of office
 - (8) The President and Vice-Chancellor, by virtue of office
 - (9) The Chancellor, by virtue of office
- c. Non-Voting Advisors invited by the Committee Chair
From time to time, the Committee Chair may invite individuals who are not Board members to provide advice to the Committee.
- d. Committee Leadership
The Board of Governors appoints the Committee Chair from the Committee membership category Section 4.a(1) of these terms of reference, upon the recommendation of the Board Chair. The Committee appoints the Committee Vice-Chair from the Committee membership category Section 4a(1) of these Terms of Reference, upon the recommendation of the Board Chair and the Committee Chair. The Vice-Chair undertakes and discharges all duties of the Chair in the absence of the Chair.