

The following Motions and Documents were considered by the Board Learning and Discovery Committee at its Friday, April 26, 2019 meeting:

Agenda Title: **Proposal from the Faculty of Arts to terminate the Bachelor of Arts and Bachelor of Arts (Honors) in Chinese Studies and Japanese Studies, the Bachelor of Arts in Chinese and Japanese, and the minors in Chinese and Japanese**

APPROVED MOTION: THAT the Board Learning and Discovery Committee, on the recommendation of General Faculties Council, recommend that the Board of Governors approve the termination of the Bachelor of Arts and Bachelor of Arts (Honors) in Chinese Studies and Japanese Studies, the Bachelor of Arts in Chinese and Japanese, and the minors in Chinese and Japanese, as submitted by the Faculty of Arts, and as set forth in Attachment 1, to be effective July 2019.

Final recommended item: 4b.

Agenda Title: **Proposed Graduate Certificate in School Leadership, Faculty of Graduate Studies & Research, and Faculty of Education**

APPROVED MOTION: THAT the Board Learning and Discovery Committee, acting with delegated authority of the Board of Governors and on the recommendation of the GFC Academic Planning Committee, approve a new Graduate Certificate in School Leadership, as submitted by the Faculty of Graduate Studies and Research and the Faculty of Education, and as set forth in Attachment 1, to take effect September 2019.

Final recommended item: 4c.

Agenda Title: **Proposed Graduate Certificate in School Leadership and Administration (Certificat d'études supérieures en administration et leadership scolaire), Faculty of Graduate Studies & Research, and Faculté Saint-Jean**

APPROVED MOTION: THAT the Board Learning and Discovery Committee, acting with delegated authority of the Board of Governors and on the recommendation of the GFC Academic Planning Committee, approve a new Graduate Certificate in School Leadership and Administration (Certificat d'études supérieures en administration et leadership scolaire), as submitted by the Faculty of Graduate Studies and Research and Faculté Saint-Jean, and as set forth in Attachment 1, to take effect September 2019.

Final recommended item: 4d.

Agenda Title: **Revisions to the Animal Ethics Policy and Procedures**

APPROVED MOTION: THAT the Board Learning and Discovery Committee, acting with delegated authority of the Board of Governors and on the recommendation of General Faculties Council, approve the proposed revisions to the Animal Ethics Policy and Procedures, as set forth in the attachments, to take effect upon final approval.

Final recommended item: 7.

**Governance Executive Summary
Action Item**

Agenda Title	Proposal from the Faculty of Arts to terminate the Bachelor of Arts and Bachelor of Arts (Honors) in Chinese Studies and Japanese Studies, the Bachelor of Arts in Chinese and Japanese, and the minors in Chinese and Japanese
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Motion

THAT the Board Learning and Discovery Committee, on the recommendation of General Faculties Council, recommend that the Board of Governors approve the termination of the Bachelor of Arts and Bachelor of Arts (Honors) in Chinese Studies and Japanese Studies, the Bachelor of Arts in Chinese and Japanese, and the minors in Chinese and Japanese, as submitted by the Faculty of Arts, and as set forth in Attachment 1, to be effective July 2019.

Item

Action Requested	<input type="checkbox"/> Approval <input checked="" type="checkbox"/> Recommendation
Proposed by	Lesley Cormack, Dean, Faculty of Arts
Presenter(s)	Steven Dew, Provost and Vice-President (Academic)

Details

Responsibility	Provost and Vice-President (Academic)
The Purpose of the Proposal is <i>(please be specific)</i>	The proposal is before the committee to terminate the program. Admission and transfer into the program has been suspended since 2015.
Executive Summary <i>(outline the specific item – and remember your audience)</i>	<p>No impact on students is expected due to the termination of these programs. The two students currently enrolled are in their fourth year and expected to graduate in Spring 2019. Courses in these areas continue to be offered.</p> <p>Admission and transfer to the separate programs in Chinese and Japanese were suspended effective Fall 2015 at the request of the Department of East Asian Studies. The Department introduced a unified East Asian Studies curriculum to replace the separate major/minors in Chinese, Japanese, and East Asian Studies. The Department made this decision in the interests of simplicity and flexibility, to broaden student choices in the composition of their major, and to facilitate the progress of students through the program.</p> <p>After final approval at the university level, the proposal will be submitted to government for approval. Upon final approval, the Calendar and the Faculty website will be updated.</p>
Supplementary Notes and context	Pending approval of the Board Learning, Research, and Student Experience Terms of Reference in June 2019, future approval for the termination of degree programs will be delegated to General Faculties Council, while the Board of Governors will instead approve suspensions of degree programs.

Engagement and Routing (Include meeting dates)

Consultation and Stakeholder Participation	<p><u><i>Those who are actively participating:</i></u></p> <ul style="list-style-type: none"> • none
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Item No. 4b

<p>(parties who have seen the proposal and in what capacity)</p> <p><For information on the protocol see the Governance Resources section Student Participation Protocol></p>	<p><u>Those who have been consulted:</u></p> <ul style="list-style-type: none"> • Vice-Dean, Faculty of Arts • Portfolio Initiatives Manager, Office of the Provost and Vice-President (Academic)
<p>Approval Route (Governance) (including meeting dates)</p>	<p><u>Those who have been informed:</u></p> <ul style="list-style-type: none"> • Arts Faculty Council <p>Arts Academic Affairs Committee (March 28, 2018) Arts Executive Committee (November 8, 2018) Arts Faculty Council (November 22, 2018) GFC Academic Planning Committee (December 12, 2018) GFC Executive Committee (January 14, 2019) General Faculties Council (January 28, 2019) Board Learning and Discovery Committee (April 26, 2019) Board of Governors (May 10, 2019)</p>

Strategic Alignment

<p>Alignment with <i>For the Public Good</i></p>	<p>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.</p> <p>Objective 21: Encourage continuous improvement in administrative, governance, planning, and stewardship systems, procedures, and policies that enable students, faculty, staff, and the institution as a whole to achieve shared strategic goals.</p>		
<p>Alignment with Institutional Risk Indicator</p>	<p>Please note below the specific institutional risk(s) this proposal is addressing.</p> <table border="0" style="width: 100%;"> <tr> <td style="vertical-align: top;"> <input type="checkbox"/> Enrolment Management <input type="checkbox"/> Faculty and Staff <input checked="" type="checkbox"/> Funding and Resource Management <input type="checkbox"/> IT Services, Software and Hardware <input type="checkbox"/> Leadership and Change <input type="checkbox"/> Physical Infrastructure </td> <td style="vertical-align: top;"> <input type="checkbox"/> Relationship with Stakeholders <input type="checkbox"/> Reputation <input type="checkbox"/> Research Enterprise <input type="checkbox"/> Safety <input checked="" type="checkbox"/> Student Success </td> </tr> </table>	<input type="checkbox"/> Enrolment Management <input type="checkbox"/> Faculty and Staff <input checked="" type="checkbox"/> Funding and Resource Management <input type="checkbox"/> IT Services, Software and Hardware <input type="checkbox"/> Leadership and Change <input type="checkbox"/> Physical Infrastructure	<input type="checkbox"/> Relationship with Stakeholders <input type="checkbox"/> Reputation <input type="checkbox"/> Research Enterprise <input type="checkbox"/> Safety <input checked="" type="checkbox"/> Student Success
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<p>Legislative Compliance and jurisdiction</p>	<p>Post-Secondary Learning Act GFC Academic Planning Committee Terms of Reference Board Learning and Discovery Committee Terms of Reference 3c / 4b</p>		

Attachments:

1. Proposal Template: Program Terminations East Asian Studies (5 pages)
2. Calendar Change East Asian Studies Terminations (1 page)

Prepared by: Rebecca Nagel, Associate Dean (Student Programs), Faculty of Arts, rebecca.nagel@ualberta.ca.

Proposal Template: Program Termination

Use this template for proposals to terminate ministry-approved programs or specializations.

SECTION 1: PROPOSAL INFORMATION

1.1 Fill in the table below:

Institution	University of Alberta
Program/specialization name	<p>Single Majors: Chinese Studies/Chinese Language and Literature, Japanese Studies/Japanese Language and Literature</p> <p>Combined Major:** Chinese & Japanese</p> <p>Single Minors: Chinese, Japanese</p> <p>**not to be confused with “double” majors</p>
Credential awarded	Bachelor of Arts and Bachelor of Arts Honors (BA and BA Honors)
Proposed effective date of termination	July 2019

1.2 Confirm whether:

- 1.2.1 This termination proposal was preceded by a ministry-approved suspension period.
- This termination proposal was not preceded by a ministry-approved suspension period.

1.2.1a If this proposal was preceded by a suspension, attach approval letter.

1.2.1b If this proposal was not preceded by a suspension, explain why ministry approval for a suspension was not sought prior to requesting a termination.

1.2.1c If not preceded by suspension, indicate when students were last admitted into the program/specialization.

1.2.2 No active students remain in the program .

Active program students remain in the program .

SECTION 2: RATIONALE

2.1 Identify reason(s) for termination with supporting evidence (e.g., low student demand, declining labour market demand, institutional capacity, provincial priorities, etc.).

In 2011-2014, the Department East Asian Studies conducted an extensive curriculum review of undergraduate programs and courses. The result was a proposal for a unified East Asian Studies curriculum (rather than a major/minor in separate areas of Chinese, Japanese and East Asian Studies). In order to streamline and simplify the Major offerings in East Asian Studies for simplicity and flexibility, the Department chose to terminate the set of degrees in place up to 2015-2016 and replace them with a single Major option as well as a Major with the Honors Option. The Majors at the time were Chinese, Japanese, and Combined Chinese and Japanese, as well as Honors. The new single Major is East Asian Studies, and it stands in place of the various previous Majors.

No course or course of study has been eliminated in the process of terminating these Majors. The new Major simply subsumes the courses that were previously available. However, the new major is simpler, because there is just one option, and most important it is much more flexible, because students may take a range of courses that heretofore may not have counted for one of the specific majors. The rigorous language requirement we have for the Major remains intact. The new major was developed collectively and through consensus and a wide range of stakeholders were consulted in devising it. The result is a flexible, credible major that is popular with undergraduates at the University of Alberta.

The change of enrolments trend in the major programs can be seen in the following table.

Single Majors (BA & BA Honors)

YEAR	CHINESE LANG&LIT	JAPANESE LANG&LIT	EAST ASIAN STUDIES
2014-2015	13	43	51
2015-2016	10	20	84
2016-2017	5	9	103
2017-2018	2	4	103
2018-2019	1	1	93

Combined Majors (BA)

YEAR	COMBINED CHINESE&JAPANESE
2014-2015	2
2015-2016	4
2016-2017	2
2017-2018	0

The two students still enrolled are both in Year 4 and expected to graduate in Spring 2019. There are no current students in the suspended minors. As of November 2018 there are 98 students in the East Asian Studies minor.

2.2 Provide specific information about which internal governance body approved the termination, and provide date of approval. (Attach copy of minutes or motions.)

Faculty of Arts, Academic Affairs Committee (March 28, 2018)

Faculty of Arts, Executive Committee (November 8, 2018)

Faculty of Arts Council (November 22, 2018)

Academic Planning Committee (December 12, 2018)

SECTION 3: ACCESS

3.1 Identify student access considerations and risks for Campus Alberta (include information about related programs or other avenues available to students to prepare for careers/employment and/or further educational opportunities).

3.2 If this program or specialization is unique in the province, describe the consultation(s) undertaken within Campus Alberta to investigate the feasibility of program/specialization transfer.

3.3 Describe the consultation process that occurred with students at your institution regarding this programming change.

Student consultation was done during the preparation for the proposal of the suspensions (2013-14). Student consultation was conducted at various governance processes for the

suspensions. The governance process within the Faculty of Arts for approval of the suspensions included: East Asian Studies Department Council (3 undergraduate students); Academic Affairs Committee (8 undergraduate students); Arts Executive Committee (4 undergraduate students); Arts Faculty Council (27 undergraduate students). In addition, as the revised program was developed, the students sitting on the East Asian Studies Department Council consulted with their peers. This proposal for the terminations has gone through the same governance process with multiple committees with undergraduate student representation.

SECTION 4: IMPACT

4.1 Describe the consultation process that occurred with other stakeholders (e.g., advisory committees, regulatory bodies, employers, etc.) affected by this programming change.

4.2 Describe plans for communicating the termination decision to stakeholders, particularly regulatory bodies (if applicable) and other Campus Alberta institutions.

Students in some other Faculties may take an Arts minor (Native Studies, Science, and St. Jean). The Faculties of Education and Business have approved related programming for which course requirements may need to be changed. The Faculty of Arts office contacted the Associate Deans in each of those Faculties to raise awareness of the changes to the programs so they could evaluate next steps appropriate to their own programs.

When communicating with internal and external audiences regarding the suspension of the programs, it was also communicated that it was planned to terminate the programs at the appropriate time. Any pertinent audiences are, therefore, already made aware that these programs will be terminated.

4.3 Describe plans for reallocation of resources previously used for this program/specialization and identify budget and staffing impacts.

No relocation of resources is anticipated since courses will continue to be offered. Students have the option to declare an East Asian Studies major or minor.

OTHER CONSIDERATIONS

Please indicate if there are additional factors you would like the ministry to consider when reviewing this proposal.

RECOMMENDATION (FOR DEPARTMENT USE)

Recommendation(s):

Rationale for Recommendation:

Reviewer(s):

Date Completed:

CALENDAR CHANGE REQUEST FORM

Department: East Asian Studies

2018 – 2019 form submission deadlines: October 5th, January 4th, March 1st & April 1st

Highlight type of change request below:

1. **Course Change** 2. **Editorial Change** 3. **Admission Requirement** 4. **Program Regulation**

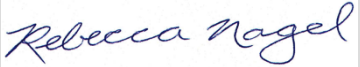
Note: changes that fall under type 1 or 2 received by October 5th will be considered to be published in the 2019-20 Calendar

CURRENT	PROPOSED
<p>https://calendar.ualberta.ca/preview_program.php?catoid=28&poid=26731&returnto=7133#BAHonorsAndBAMajorMinorRequirements</p> <p>East Asian Studies [Arts]</p> <p>Effective September 2015, there will be no further admissions to BA Honors Chinese or Japanese programs. Students who entered one of these programs prior to September 2015 must complete all program requirements by April 30, 2019. The last BA Honors degree with Chinese or Japanese major will be granted at Spring Convocation 2019.</p> <p>Honors in East Asian Studies</p> <p>[...]</p> <p>Major and Minor in East Asian Studies</p> <p>Major Requirements</p> <p>Effective September 2015, there will be no further admissions to Chinese or Japanese majors. Students who entered one of these programs prior to September 2015 must complete all program requirements by April 30, 2019. The last BA degree with Chinese or Japanese major will be granted at Spring Convocation 2019.</p> <p>A major in East Asian Studies requires.....</p> <p>[...]</p> <p>Minor Requirements</p> <p>Effective September 2015, there will be no further admissions to Chinese or Japanese minors. Students who entered one of these programs prior to September 2015 must complete all program requirements by April 30, 2019. The last BA degree with Chinese or Japanese minor will be granted at Spring Convocation 2019.</p> <p>A minor in East Asian Studies requires....</p>	<p>East Asian Studies [Arts]</p> <p>Honors in East Asian Studies</p> <p>[...]</p> <p>Major and Minor in East Asian Studies</p> <p>Major Requirements</p> <p>A major in East Asian Studies requires.....</p> <p>[...]</p> <p>Minor Requirements</p> <p>A minor in East Asian Studies requires....</p>

Rationale for change:

Please see the Program Termination template for the history of the suspension and termination of these programs.

All names, signatures and dates are required:

Department Contact Name: Christopher Lupke	Department Chair or Designate Name: Rebecca Nagel	Date approved by Dept Council:
Email:	Signature: 	Date submitted: November 9, 2018

Item No.4c

**Governance Executive Summary
Action Item**

Agenda Title	Proposed Graduate Certificate in School Leadership, Faculty of Graduate Studies & Research, and Faculty of Education
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Motion

THAT the Board Learning and Discovery Committee, acting with delegated authority of the Board of Governors and on the recommendation of the GFC Academic Planning Committee, approve a new Graduate Certificate in School Leadership, as submitted by the Faculty of Graduate Studies and Research and the Faculty of Education, and as set forth in Attachment 1, to take effect September 2019.

Item

Action Requested	<input checked="" type="checkbox"/> Approval <input type="checkbox"/> Recommendation
Proposed by	Deborah Burshtyn, Interim Dean and Vice Provost, Faculty of Graduate Studies and Research Jennifer Tupper, Dean of Education
Presenter(s)	Steven Dew, Provost and Vice-President (Academic)

Details

Responsibility	Provost and Vice-President (Academic)
The Purpose of the Proposal is <i>(please be specific)</i>	To approve a new Graduate Certificate in School Leadership to be offered by the Faculty of Education.
Executive Summary <i>(outline the specific item – and remember your audience)</i>	<p>Effective September 1, 2019 principals and superintendents in the province of Alberta will have to be certified by Alberta Education to hold their leadership positions. Professional certification for teachers, school principals and superintendents will be cumulative. This certification will be granted to principals who have a teaching certificate and meet the Leadership Quality Standard (LQS) and superintendents have a principal certificate and who meet the Superintendent Leadership Quality Standard (SLQS) The LQS will apply to all principals, assistant, associate and vice principals, and the SLQS will apply to school jurisdiction leaders. Alberta Education has been working collaboratively with approved postsecondary institutions (Alberta universities with B.Ed. programming) to develop leadership programming that will lead to the leadership certification. Funded by Alberta Education, The Faculty of Education University of Alberta is developing course work that will address the LQS and SLQS thereby qualifying students for the Alberta Education certification. This course work will be package into the proposed Graduate Certificate in School Leadership (Please note the distinction between the “Certificate in School Leadership” and “LQS and SLQS certification” by the Province of Alberta.)</p> <p>The Graduate Certificate in School Leadership will be composed of the two courses used to satisfy the LQS (compulsory) and two elective courses (one of the electives will satisfy the SLQS). Each department with the Master of Education will be asked to consider accepting the Graduate Certificate in School Leadership as a ladder into their course-based programs.</p> <p>The Graduate Certificate in School Leadership proposal has been developed by the Master of Education in Educational Studies unit in the</p>

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	<p>Faculty of Education Dean's office, with expertise and guidance from the Educational Administration and Leadership specialization in Education Policy Studies.</p> <p>Two courses in this certificate will meet Alberta Education's requirements for Leadership Quality Standards (LQS) certification for principals. One course in this certificate will meet Alberta Education's requirements for Superintendent Leadership Quality Standards certification (SQLS). Both certifications will come into effect on September 1, 2019.</p>
Supplementary Notes / context	<p><u>Future freestanding certificates will not come to BLDC:</u></p> <p>On April 28, 2008, the Board Educational Affairs Committee (now Board Learning and Discovery Committee), with delegated authority from the Board of Governors, approved the establishment of the new credential of freestanding credit certificate. This motion indicated that future freestanding credit certificates would flow through the governance system in the 'standard' manner—that is, they would go to the GFC Academic Standards Committee (ASC) and Academic Planning Committee (APC) (as necessary) for approval, as set out in those committees' terms of reference. The ASC and APC Terms of Reference in effect at that time indicated that for certificates requiring Government, APC would recommend proposals to the Board of Governors (or delegate body) for approval.</p> <p>On March 18, 2019, GFC approved changes to the ASC terms of reference, and will consider changes to the APC terms of reference on April 29, 2019, that remove the requirement for Board approval for certificates requiring government approval. This change aligns with the current approval authority for degree programs wherein the Board maintains authority to approve new credentials and delegates authority to approve new programs to GFC (or delegated body).</p>

Engagement and Routing (Include meeting dates)

<p>Consultation and Stakeholder Participation (parties who have seen the proposal and in what capacity)</p> <p><For information on the protocol see the Governance Resources section Student Participation Protocol></p>	<p><u>Those who are actively participating:</u></p> <ul style="list-style-type: none"> • Elaine Simmt <p><u>Those who have been consulted:</u></p> <ul style="list-style-type: none"> • Alberta Education • College of Alberta School Superintendents • Association of Independent Schools and Colleges in Alberta Portfolio Initiatives Manager. • Office of the Dean, Faculty of Education • Department of Educational Policy Studies Council • Department of Educational Psychology Council • Department of Elementary Education Council • Department of Secondary Education Council • School of Library and Information Studies Academic Council • Aboriginal Teacher Education Program Directors • Faculty of Education Graduate Students • Faculty of Graduate Studies and Research (FGSR): Deborah Burshtyn, Interim Dean and Janice Hurlburt Graduate Governance and Policy Coordinator
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	<ul style="list-style-type: none"> • Vice - Provost (Programs) Tammy Hopper and Portfolio Initiatives Manager, Office of the Provost and Vice-President (Academic) Andrea Patrick • Edith Finczak, Director, Academic Budgeting and Programming • Office of the Registrar
	<p><u><i>Those who have been informed:</i></u></p> <ul style="list-style-type: none"> •
<p>Approval Route (Governance) (including meeting dates)</p>	<p>Faculty of Education Council—February 5, 2019 FGSR Council – February 13, 2019 GFC ASC Subcommittee on Standards (for discussion) - March 7, 2019 GFC Academic Standards Committee - March 21, 2019 GFC Academic Planning Committee – April 17, 2019 Board of Learning and Discovery Committee – April 26, 2019</p>

Strategic Alignment

<p>Alignment with <i>For the Public Good</i></p>	<p>Institutional Strategic Plan - For the Public Good</p> <p>BUILD OBJECTIVE 1: Build a diverse, inclusive community of exceptional undergraduate and graduate students from Edmonton, Alberta, Canada, and the world. Strategy 1: 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.</p> <p>EXPERIENCE OBJECTIVE 7: 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. Strategy 1: Increase students' experiential learning through mutually beneficial engagement with community, industry, professional, and government organizations locally, nationally, and internationally.</p> <p>EXCEL OBJECTIVE 14: Inspire, model, and support excellence in teaching and learning}. Strategy 1: Foster, encourage, and support innovation and experimentation in curriculum development, teaching, and learning at the individual, unit and institutional levels.</p>		
<p>Alignment with Institutional Risk Indicator</p>	<p>Please note below the specific institutional risk(s) this proposal is addressing.</p> <table border="0" data-bbox="565 1772 1523 1976"> <tr> <td data-bbox="565 1772 1068 1976"> <input type="checkbox"/> Enrolment Management <input type="checkbox"/> Faculty and Staff <input type="checkbox"/> Funding and Resource Management <input type="checkbox"/> IT Services, Software and Hardware <input type="checkbox"/> Leadership and Change <input type="checkbox"/> Physical Infrastructure </td> <td data-bbox="1068 1772 1523 1976"> <input checked="" type="checkbox"/> Relationship with Stakeholders <input checked="" type="checkbox"/> Reputation <input type="checkbox"/> Research Enterprise <input type="checkbox"/> Safety <input checked="" type="checkbox"/> Student Success </td> </tr> </table>	<input type="checkbox"/> Enrolment Management <input type="checkbox"/> Faculty and Staff <input type="checkbox"/> Funding and Resource Management <input type="checkbox"/> IT Services, Software and Hardware <input type="checkbox"/> Leadership and Change <input type="checkbox"/> Physical Infrastructure	<input checked="" type="checkbox"/> Relationship with Stakeholders <input checked="" type="checkbox"/> Reputation <input type="checkbox"/> Research Enterprise <input type="checkbox"/> Safety <input checked="" type="checkbox"/> Student Success
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<p>Legislative Compliance and</p>	<p>Post-Secondary Learning Act (PSLA)</p>		

Item No.4c

jurisdiction	UAPPOL Admissions Policy GFC Academic Standards Committee (ASC) Terms of Reference GFC Academic Planning Committee (APC) Terms of Reference Board Learning and Discovery Committee Terms of Reference (3c)
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Attachments:

1. Proposal Template (20 pages)
2. Calendar Copy-Program
3. Calendar Copy-Courses
4. Library Impact Statement (2 pages)
5. Letter – External Evaluation (2 pages)
6. Alberta Education: Leadership Quality Standard (7 pages)
7. Alberta Education: Superintendent Leadership Quality Standard (8 pages)

Prepared by: Janice Hurlburt, Graduate Governance and Policy Coordinator, jhurlburt@ualberta.ca

Proposal Template: New Certificate and Diploma Programs and Specializations and Non-Credential Programming

SECTION 1: PROPOSAL OVERVIEW

1.1 Basic Information *(Complete the table below)*

Institution	University of Alberta
Program/Specialization Name	School Leadership
Credential Awarded	Graduate Certificate
Proposed Effective Date	September 1, 2019

1.2 Type of Initiative

1.2.1 *This is a proposal for (check one):*

- new certificate*
- new diploma*
- new non-credential*
- new specialization(s) in existing program*

1.3 Nomenclature *(Answer the following questions)*

1.3.1 *What program and/or specialization name will appear on parchments and transcripts?*

Graduate Certificate in School Leadership

1.3.2 *Provide a brief rationale for the program and/or specialization name selected.*

Effective September 1, 2019 principals and superintendents in the province of Alberta will have to be certified by Alberta Education to hold their leadership positions. Professional certification for teachers, school principals and superintendents will be cumulative. This certification will be granted to principals who have a teaching certificate and meet the Leadership Quality Standard (LQS) and superintendents have a principal certificate and who meet the Superintendent Leadership Quality Standard (SLQS) The LQS will apply to all principals, assistant, associate and vice principals, and the SLQS will apply to school jurisdiction leaders.

Alberta Education has been working collaboratively with approved postsecondary institutions (Alberta universities with B.Ed. programming) to develop leadership programming that will lead to the leadership certification. Funded by Alberta Education, The Faculty of Education University of Alberta is developing course work that will address the LQS and SLQS thereby

qualifying students for the Alberta Education certification. This course work will be package into the proposed *Graduate Certificate in School Leadership* (Please note the distinction between the “Certificate in School Leadership” and “LQS and SLQS certification” by the Province of Alberta.)

The Graduate Certificate in School Leadership will be composed of the two courses used to satisfy the LQS (compulsory) and two elective courses (one of the electives will satisfy the SLQS). Each department with the Master of Education will be asked to consider accepting the *Graduate Certificate in School Leadership* as a ladder into their course-based programs.

The Graduate Certificate in School Leadership proposal has been developed by the Master of Education in Educational Studies unit in the Faculty of Education Dean's office, with expertise and guidance from the Educational Administration and Leadership specialization in Education Policy Studies

All Alberta Certificates should be portable in Alberta.

SECTION 2: OVERVIEW OF PROPOSED PROGRAM OF STUDY

2.1 Program Description (*Answer the following questions*)

2.1.1 *Provide a 3-4 sentence calendar description of the program*

The *Graduate Certificate in School Leadership* is a for-credit certificate program in the Faculty of Education for teaching professionals seeking specialization in school leadership. The program consists of four courses for a total of 12 credits, two of which are compulsory and two of which are selected from a list of approved electives.

2.1.1a *Attach a proposed program of study (including course names, descriptions, credits and pre-requisites, by semester or year of study) as an appendix to this proposal.*

Appendix I – attached.

2.1.2 *List program learning outcomes.*

The learning outcomes of the proposed certificate program are for graduates to be able to:

1. Foster effective relationships
2. Model commitment to professional learning
3. Embody visionary leadership
4. Lead a learning community
5. Support the application of foundational knowledge about First Nations, Métis and Inuit

6. Provide instructional leadership
7. Develop leadership capacity
8. Manage school operations and resources
9. Understand and respond to the larger societal context

2.1.3 *Does the program align with characteristics (e.g., credits, learning outcomes, etc.) associated with this credential? (Consult with the Ministry as necessary)*

Yes; X No; or Not Applicable

2.1.4 *Indicate where the program will be offered (i.e., campus locations and/or off-site locations) and how it will be delivered (i.e., face-to-face, online, or blended).*

The courses for the program will be offered at the University of Alberta, North Campus, and off-site in collaboration with rural school jurisdictions. Delivery will be a blended format, including both face to face and online courses.

2.1.5 *Identify any collaborations or potential collaborations with other post-secondary institutions or other organizations that this program respectively facilitates or provides for.*

To date the Universities of Calgary and Concordia, in addition to Faculté St. Jean, University of Alberta have indicated they will provide programming for the LQS certification. Feedback from Alberta Education has been ongoing since the announcement of the new certification requirements. Alberta Education has provided development funding for each of the approved postsecondary institutions offering programming for the LQS certification.

Within the Faculty of Education, the *Graduate Certificate in School Leadership* is a is an initiative of the Faculty of Education, Master of Education in Educational Studies with expertise drawn from the Educational Administration and Leadership specialization in Education Policy Studies.

The Faculty of Education and Faculté St. Jean collaborated in all phases of the development of the proposal. The collaboration will continue as we work on the list of approved electives for the Graduate Certificate in School Leadership. Specifically, we will leverage expertise in school leadership in Francophone and First Nations, Métis and Inuit schools by including the possibility for a student to select an elective selected from Faculté St. Jean and Faculty of Education.

An advisory group consisting of representatives from Alberta Education, the Alberta Teachers' Association, the College of Alberta School Superintendents, Association of Independent Schools and Colleges in Alberta, Northwest Alberta Learning Consortium has met and provided recommendations for the LQS and SLQS programming and the Graduate Certificate in School Leadership.

2.1.6 *Indicate how the proposed FLE and load calculations align both with internal institutional practices and with similar Ministry-approved programs. (Consult with the Ministry as required)*

[redacted]

[note: Provost's Office will supply information] advised to use headcount.

2.1.7 Document the CIP (*Classification of Instructional Programs, Statistics Canada*) code being proposed for this program and explain the rationale for its selection, if necessary (e.g., in the case of an interdisciplinary program).

The CIP code for the Graduate Certificate in LQS being proposed for this program is 13.0401 (Educational Leadership and Administration).

2.2 Program Requirements (*Answer the following questions*)

2.2.1 List primary admission requirements for the proposed program.

Admission requirements are as follows:

- Bachelor of Education and either teacher certification or 2 years teaching experience
- An admission GPA of 3.0.
- ELP requirement for international students: 6.5 IETS, minimum 6.5 on each band; Test of English as a Foreign Language (TOEFL) 93 (internet-based) with a minimum of 24 on the Speaking and Writing Bands of the exam, minimum for the Reading and Listening bands of the TOEFL exam is 20, or equivalent.

2.2.2 List program completion requirements.

Program requirements include completion of four, three credit courses. The courses listed below are required courses. Two additional approved elective courses at the graduate level within the Faculty of Education will be required for the proposed program.

Required courses for the proposed program two (*3) for a total of *6

- *Theoretical and Professional Foundations of School Leadership*
 - *School Leadership: Theory into practice*
- These two courses meet requirements for Alberta Education principal certification (LQS)

Elective courses two (*3) for a total of *6

- *System Leadership: Theory into Practice*
This course is meets requirements for Alberta school superintendent certification (SLQS)
- *First Nation, Métis and Inuit Issues for School Leaders*
- note—a call is out to Faculty of Education Departments to propose electives for the *Graduate Certificate in School Leadership*. e.g. *Curriculum Leadership*

2.3 Work Integrated Learning Placements (*If applicable, answer the following questions*)

The focus of certificate is for working professionals who are either already principals or teachers

who are planning to be principals. Thus, they are integrated in the workplace as they are in the school system while they take the certificate.

AB Ed has consulted on the design of the curriculum, which of course ensures alignment with the needs of the workplace and builds on the experiences of the professionals working there.

2.3.1 *Identify the number of placements required in the proposed program (including type of work setting and duration/timing of activities).*

N/A

2.3.2 *Describe communications from employers (e.g., letters of support, minutes of program advisory committee meetings, etc.) that would indicate that sufficient placements will be available when needed.*

N/A

2.3.2a *Comment on whether/how work integrated learning placements in other programs (at the institution or at other Campus Alberta institutions) may be impacted as a result of this program.*

We do not anticipate work learning placements in other programs will be impacted.

2.3.3 *Describe the student's role, if any, in securing placements.*

N/A

2.4 Endorsement of and/or Support for Program *(Indicate endorsement(s) from relevant professional organizations, regulatory bodies, advisory committees, employers, and/or industry, when applicable.)*

Support from the following organizations:

- Alberta Education: regulatory body (includes financial support for program development)

SECTION 3: LABOUR MARKET DEMAND AND ENROLMENT PLANNING

3.1 Demand for Program *(Answer the following questions)*

3.1.1 *Describe anticipated employment outcomes (including entrepreneurial and/or self-employment paths) for program graduates.*

The courses proposed for the *Graduate Certificate in School Leadership* is directly applicable for employment as a school principal or school jurisdiction leader in Alberta.

3.1.2 *Describe the labour market demand for the proposed program in the region that your institution serves, detailing how labour market demand was projected. (Append supporting*

documentation, as appropriate.)

The demand for LQS and SLQS certification arises from the Alberta Government's new requirement for principals and superintendents. Please refer to the Alberta Government's website for details on the certification requirement:

<https://education.alberta.ca/professional-practice-standards/leadership-quality-standard/everyone/overview-of-the-leadership-quality-standard/>.

3.1.3 *In cases where labour market demand is not the primary driver for creating the program, comment on social and/or community benefits.*

N/A

3.1.4 *Identify which stakeholder groups were consulted regarding demand/need for this program:*

Students/learners

Faculty

Program advisory committee

Regulator and/or accreditation bodies

Employers and professional associations

Community organizations

Other post-secondary institutions

Other (please identify)

3.1.4a *Discuss the results of these consultations and attach supporting documentation (e.g., minutes of meetings, letters of support, etc.), when available.*

Those who have been consulted:

- Provost and Vice President Academic (Programs)
- Faculty of Graduate Studies and Research (FGSR) (October 25, 2018)
- Director Academic Budgeting and Programing (October 25, 2018)
- Office of the Dean, Faculty of Education (ongoing)
- Department of Educational Policy Studies Council (January 18, 2019)
- Department of Educational Psychology Council (January 17, 2019)
- Department of Elementary Education Council (January 18, 2019)
- Department of Secondary Education Council (November 30, 2018)
- School of Library and Information Studies Academic Council (January 11, 2019)

- Aboriginal Teacher Education Program Directors (January 24, 2019)
- Faculty of Education Graduate Students (January 31, 2019)
- IST (January 28, 2019)
- Alberta Education (AB ED, multiple consultations since February 11, 2018)
- Alberta Teachers' Association (ATA, September 25, 2018)
- College of Alberta School Superintendents (CASS, September 25, 2018)
- Association of Independent Schools & Colleges in Alberta Portfolio Initiatives Manager (AISCA, September 25, 2018)

3.1.5 *Will this program target students from outside the institution's traditional catchment zone? (If yes, where will these students be targeted – i.e., which particular regions/jurisdictions within Alberta and Canada, foreign countries, and/or geographic regions?)*

Targeted students for the proposed certificate will be Alberta teachers entering or aspiring to enter school leadership roles: this is within the traditional catchment zone.

3.1.6 *Comment on the overall sustainability of learner demand for this program over the longer term.*

The need for principals and system level leaders to acquire LQS and SLQS certification will be ongoing, thus ensuring the students for the program. This should be a sustainable program.

3.2 Projected Domestic Student Enrolment *(Complete the table below as applicable)*

Students enrolling in the proposed certificate will apply as special graduate students, with manual enrolment.

(NB: Proposals for non-credentials do not complete anticipated no. of graduates line or divide enrolments by year of study.)

Proposed Enrolment	Year 1	Year 2	Year 3	Year 4	Annual Ongoing
Total head count	0	0	0	0	0
• Year 1	60	80	80	80	80
• Year 2	0	60	80	80	80
• Year 3	0	0	0	0	0
Total FLE	0	0	0	0	0
• FLE Year 1	0	0	0	0	0
• FLE Year 2	0	0	0	0	0
• FLE Year 3	0	0	0	0	0
Anticipated No. of	0	58	76	76	76

Graduates					
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3.3 Projected International Student Enrolment *(Complete the table below as applicable)*

Proposed Enrolment	Year 1	Year 2	Year 3	Year 4	Annual Ongoing
Total head count	0	0	0	0	0
• Year 1	0	0	0	0	0
• Year 2	0	0	0	0	0
• Year 3	0	0	0	0	0
Total FLE	0	0	0	0	0
• FLE Year 1	0	0	0	0	0
• FLE Year 2	0	0	0	0	0
• FLE Year 3	0	0	0	0	0
Anticipated No. of Graduates	0	0	0	0	0

3.4 Enrolment Planning Assumptions *(Answer the following questions)*

3.4.1 *Will total enrolment (as measured in FLEs) at your institution increase as a result of implementation of this proposed program?*

Yes.

3.4.1a *Identify enrolment impacts in similar programs or non-credential areas within your institution, when applicable.*

Other programs are not currently aligned with the LQS, except for Faculté St. Jean – which will offer the program for the francophone teachers.

3.4.2 *How many cohorts or intakes of new students will occur per year, or is a continuous intake model used?*

Four intakes will be possible for this program (Fall, Winter, Spring, Summer)

3.4.3 *When applicable, provide rationale for how enrolment projections were established with regard to domestic/international student ratio.*

Rationale for the projected enrolment comes from job projections, arising from the number of teachers transitioning into available leadership roles per year.

3.4.4 *Explain assumptions regarding attrition and/or numbers of graduates.*

Most students will have multiple life responsibilities (e.g., work and family) and will be working full time while participating in the Graduate Certificate in School Leadership. For a variety of reasons, we anticipate, similar to our other graduate programs, an attrition rate of 2-5% per year.

3.4.5 *What is the minimum number of FLEs needed for this program to be viable (i.e., the “break-even” point)?*

We will require a minimum of 17 students enrolled in each course section to break-even.

SECTION 4: QUALITY CONSIDERATIONS

4.1 Quality Assurance Considerations *(If applicable, answer the following questions)*

(NB: non-credential programs complete 4.1.1 only.)

4.1.1 *What strategies did your institution use to foster program quality for the proposed program (e.g., curriculum mapping, use of expert panels, industry panels, or advisory panels, etc.)?*

In response to a call from Alberta Education for proposals to develop programming for the LQS, the Faculty of Education developed a successful proposal. The success of the proposal provides additional assurance of the alignment of the proposed learning outcomes with the LQS and accessibility of the program for all potential students. Two of the proposed UA Graduate Certificate courses will meet the necessary requirements for the LQS certification by Alberta Education.

Input from the advisory panel enables us to be confident we are proposing a quality program. An advisory board is composed of expert and employment sector representatives has been established and is providing ongoing feedback.

Further, AB ED will review the programming to ensure it is aligned with the mandated certification requirements.

4.1.2 *Provide copy of independent academic expert review, when applicable.*

This proposal has been reviewed by Dr. Paul Newton, University of Saskatchewan.

4.1.3 *Provide copy of institution’s response to independent academic expert review, when applicable.*

Attached.

4.1.4 Describe the institutional quality assurance process(es) that will be used to ensure the continuing high quality of the proposed program.

- Faculty members from the Faculty of Education will oversee the content development, delivery format and evaluation.
- The Associate Dean, Graduate Studies will provide oversight for all FGSR policies and regulations.
- EdTech will support the proposed program as required.
- An Advisory Committee has been established to provide critical advice to the programming of the proposed certificate.

SECTION 5: FINANCIAL VIABILITY AND SUSTAINABILITY

5.1 Annual Budget and Funding Sources *(Complete the table below)*

- *Identify annual and one-time expenditures and annual revenues for the program in the budget tables below.*
- *If program implementation will take place over more than one year, provide estimates for each year until full implementation.*

Ongoing Revenues and Operational Costs

	Year 1	Year 2	Year 3	Year 4	Annual Ongoing
Revenues					
Domestic Tuition/Fees	168,000	\$392,000	\$448,000	\$448,000	\$448,000
International Tuition/ Fees	\$0	\$0	\$0	\$0	\$0
External Funding	\$0	\$0	\$0	\$0	\$0
Internal Re-allocation	\$0	\$0	\$0	\$0	\$0
By-Product Sales/Services	\$0	\$0	\$0	\$0	\$0
Other Internal Sources	\$0	\$0	\$0	\$0	\$0
Total Revenue	\$168,000	\$392,000	\$448,000	\$448,000	\$448,000
Operational Costs (1)					
Faculty Salaries/Benefits	\$0	\$0	\$0	\$0	\$0
Service Teaching Costs (2)	70,000	153,000	176,460	179,989	183,589
Admin Salaries/Benefits (3)	56,000	57,120	58,262	59,428	60,616
Materials/Contracted Service (4)	53,000	54,060	55,141	56,244	57,369

Other Direct Costs (5)	6,833	6,970	7,109	7,251	7,396
Faculty Overhead	9,292	13,558	14,849	15,146	15,449
Indirect Costs	67,272	98,156	107,504	109,654	111,847
Total Operational Costs	262,396	382,864	419,325	427,712	436,266

Notes--

- 1) 2% COI/year (expenses only. Tuition not adjusted for COI)
- 2) Year 1 6 sections + I coordinator. Year 2 14 sections/year + 1, Year 3 and ongoing 16 sections + 1 coordinator. @10,000/course
- 3) 1/3 of professional learning unit administrative staff \$168,000
- 4) annual short video production, annual guest seminar leaders, travel for seminar leaders, off-site section travel
- 5) refresh laptops for online instructors (every 5 years), recruitment, hosting

One-Time Expenditures

One-time expenditures	Amount	Revenue Source	Details
Facilities	\$0	Faculty of Ed. (cost recovery unit)	Programming is offered online and off-site, one summer face to face classroom/year. Office space and equipment for administrative staff (IK)
Equipment and IT	\$8,000	Tuition	
Curriculum Development	\$154,000	AB ED Faculty of Ed. (cost recovery unit)	AB ED 124,000 Faculty of Ed. 30,000 (in kind-IK)
Library	\$0	AB ED	Will use resources that are also used by Ed Admin and Leadership and Educational Studies programs. Will pay library to develop resource funded by curriculum development budge line.
Advisory group and stakeholder discussions	\$3,000	AB ED	
Evaluation and Reporting (Pilot)	\$16,000	AB ED	
Recruitment	\$5,000	AB ED Faculty of Ed (cost recovery unit)	AB ED \$2,500 Faculty of Ed. \$2,500 (IK)

Pilot courses	\$117,700	AB ED Faculty of Ed (cost recovery unit)	AB ED \$50,100 Faculty of Ed. \$67,600 (Tuition & IK)
Certificate Development	\$11,000	Faculty of Ed (cost recovery unit)	IK
Indirect costs of development and pilot	\$17,000	AB ED	

5.2 Budgetary Assumptions *(Answer the following questions)*

5.2.1 *If revenue projections include internal reallocations, comment on institutional impacts for other programs/operations.*

As a cost recovery program, tuition will cover all costs (administrative, academic, recruitment, facilities, and supplies.) There will be no impact for other programs/operations, as the program will be administered through a cost recovery unit in the Faculty of Education.

5.2.2 *If projected revenues include by-product sales/services as a result of delivery of the proposed program (e.g., salon services as part of a Hairstyling program), indicate the basis upon which prices were established.*

Projected revenues do not have by-product sales/services as a result of delivery of the proposed program.

5.2.3 *Provide staffing plan information to support faculty salaries/benefits projection.*

The cost of instructors and teaching assistants for all courses in the certificate will be funded through tuition revenues.

5.2.3a *In cases where service teaching costs are projected, indicate number of courses being purchased.*

Courses will be developed by the faculty in the Faculty of Education. Funding for course development (e.g., course release time) has been provided by Alberta Education. The proposed certificate will not be purchasing courses.

5.2.4 *Identify what types of material costs and contracted services are projected.*

The proposed program will cover all costs for material and contracted services. Such services will include instructional design, video creation and other teaching resources.

5.2.5 *Specify what direct costs include.*

Other direct costs will include a set of instructor laptops, instructor copies of textbooks, recruitment booths at provincial teacher conferences, travel expenses and honoraria for guest speakers.

5.2.6 *Explain how indirect costs are projected and calculated (e.g., formula-driven, full-costing, etc.)*

Indirect costs will be formula driven.

5.2.7 *Describe risk mitigation plans should revenue forecasts not be achieved or should costs exceed amounts budgeted.*

The program will be one of three cost recovery programs (at the time of writing) in a self-funded unit the Faculty of Education (Master of Education in Educational Studies, Master of Education in Health Sciences Education). The current programming successfully recovers all costs. As more programs are maintained in that self-funded unit the more flexibility there will be for one program having a negative net year. In the event the program demonstrates inadequate enrolments in multiple years, the Faculty of Education will reassess the program.

5.3 Tuition and Student Cost Considerations *(Answer the following questions)*

5.3.1 *Compare the proposed tuition rate (both domestic and international) with that of similar programs in the Campus Alberta system and in other relevant jurisdictions. (Consult with the Ministry as needed.)*

The tuition fees are set to be consistent with other (similar) cost recovery programs at the University of Alberta. Tuition will be \$1400 / 3 credit course.

The Master of Education in Educational Studies is cost recovery programming running since 2004. Tuition is set at \$1635.20/course, for total tuition of \$16,352/program (before fees). The program has a total of 10 half course credits.

The Master of Education in Health Sciences Education is a cost recovery program for which tuition is set at \$1600/course.

The University of Calgary's fees for equivalent online programming, quoted from https://werklund.ucalgary.ca/gpe/med-interdisciplinary#quickset-field_collection_quicktabs_8 "Tuition fees in course-based graduate programs are assessed on a course-by-course and term-by-term basis. Effective May 1, 2016, the

distance half-course fee is \$1, 212.00 Cnd. The Master of Education has a total of 12 half course credits.”

5.3.2 *Does the proposed program align with the Tuition Fee Regulation?* Yes; or No

5.3.2a *Please elaborate on above answer, if necessary.*

5.3.3 *List additional projected financial costs (e.g., fees, books, equipment, travel for WIL, etc.) for students.*

Student financial costs beyond tuition are the same as what is normally required for students enrolled in a graduate program (e.g., fees, laptop, books, housing for out of town students in summer for face to face sessions)

SECTION 6: INSTITUTIONAL IMPACT

6.1 Institutional Capacity *(Answer the following questions)*

6.1.1 *Describe how the proposed program builds on institutional strengths and/or builds institutional capacity.*

Educational Policy Studies has offered Educational Administration and Leadership graduate programming in the Faculty of Education for school leaders for decades. Faculty in the unit have focused in two directions: research and the professional preparation of educational administrators and leaders for the K-12 education sector. They also have a history of providing leadership training in international contexts. A second strength in the Faculty of Education is the blended-delivery model for professional studies developed for the Master of Education in Educational Studies. The proposed program will contribute to, and build upon, these historical institutional strengths of the area in a number of ways.

It will build institutional capacity by adding to the Faculty’s professional education programming which currently leads to professional certification (teacher certification) by extending to include LQS certification for school leaders and SLQS certification for jurisdictional leaders. Second, the proposed program will build on working relationships between members of the faculty of education and professional teachers and leaders in the Alberta K-12 education sector through the collaborative work to create and maintain relevant programming. Third, the proposed program will increase graduate student enrolment in various ways (e.g., required certification courses, laddering). Finally, as we have found with other leadership education, we expect this programming will be attractive to international students as well as international education jurisdictions.

6.1.1a *Explain how the proposed program fits with existing programs at the institution.*

The proposed program is directly linked to the Educational Administration and Leadership graduate programs currently offered in the Department of Educational Policy Studies, Faculty of Education. It is also a fit with graduate programs in three other units (Educational Studies, Elementary Education and Secondary Education).

6.1.1b *Describe how the proposed program aligns with the institution's mandate and Comprehensive Institution Plan, and other planning documents.*

The proposed program aligns with the Comprehensive Institutional Plan (CIP) with respect to attracting and retaining talented students, provide access to an innovative learning opportunity, and advancing connections with the K-12 community, as well as Alberta Education. The proposed program will also support the mandate that University of Alberta graduates (our K-12 school and system leaders) will be prepared, through an innovative learning environment, to think critically, to act entrepreneurially, to create cultural and technical innovation, to be successful in the global marketplace, and to assume positions of leadership in public and private sectors. The proposed program will provide the students with these skills.

In addition to the above, the proposed program is in alignment with the CIP in the following areas:

- Facilitate, build and support interdisciplinary cross-unit engagement and collaboration.
- Increase graduate 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.
- Inspire, model and support excellence in teaching and learning.
- Foster, encourage and support innovation and experimentation in curriculum development, teaching and learning at the individual, unit and institutional levels.
- Enhance, increase, and sustain reciprocal, mutually beneficial community relations, community engagement, and community engaged research and scholarship that will extend the reach, effectiveness.
- Work closely with key provincial partners and government agencies.
- Development of mutually beneficial projects that strengthen reciprocal relationships with external stakeholders through community engagement.

6.1.2 *Comment on the facilities and equipment available at your institution to support the program.*

Smart classrooms will be used in summer face to face sessions. Digital platforms and resources available such as eClass are critical, as is the library's digital collection.

No new facilities will be required for the proposed program. Laptops will be purchased as loaners for online instructors.

6.1.3 *In cases where facilities and equipment are shared with other programs, identify impacts and/or mitigating strategies for other programs.*

Classrooms will be used in off times (evenings and spring and summer session). Online courses will not impact facilities. Technology services will be contracted specifically for the program. The faculty has a cost recovery office that will be used for administrative staff.

6.2 Internal Review and Approval *(Indicate which internal governance body recommended approval and specify date of approval.)*

1. Faculty of Education Council (February 4, 2019)
2. FGSR (February 13, 2019)
3. GFC Academic Standards Committee Sub-committee on Standards (March 2019)
4. GFC Academic Standards Committee (April 2019)
5. GFC Academic Planning Committee (May 2019)
6. Board Learning and Discovery Committee (May 2019)
7. Minister of AE (June 2019)

Proposals for freestanding certificates are submitted to IAE via the Provider and Program Registry System (PaPRS). This process is coordinated by the Office of the Provost and Vice-President (Academic).

SECTION 7: SYSTEM IMPACT

7.1 Program Duplication *(Answer the following questions)*

7.1.1 *Does the proposed program duplicate existing programming in Alberta?*

There will be similar programs offered in Alberta that currently have Bachelor of Education programs as requested by Alberta Education. It is anticipated that the proposed program will primarily serve new school leaders in the Greater Edmonton area and the Central and Northern Alberta catchment.

7.1.1a *If yes, list these programs (including those offered by private career colleges).*

While these programs are not yet being offered at other institutions, it is anticipated that the University of Calgary, Concordia University, University of Lethbridge and St. Mary's will be offering a programming to satisfy requirements for the LQS and SLQS.

7.1.2 If proposed program does constitute program duplication, explain why such duplication is appropriate and beneficial in this circumstance.

Duplication is appropriate as universities in Alberta provide both access and choice for students with their programming. The duplication is similar to the duplication that exists for Bachelor of Education degrees.

Alberta Education has provided funding to all approved postsecondary institutions throughout the province to develop programming. This noted, not all programming among the institutions will lead to a Graduate Certificate in School Leadership; this program becomes an alternative choice for educational leaders.

7.2 Learner Pathways *(Answer the following questions)*

7.2.1 Which programs or learning activities in the Alberta adult learning system ladder/transfer into this proposed program or non-credential?

Laddering/transfer into this program does not apply.

7.2.2 Into which programs in the Alberta adult learning system does this proposed program or non-credential ladder, transfer, or otherwise provide the necessary conditions for admission?

It is anticipated the proposed program will be accepted as a ladder into the Faculty of Education's course-based Master of Education degree programs.

SECTION 8: OTHER CONSIDERATIONS

Are there are other considerations that you believe that the Ministry should take into account when reviewing this proposal?

Courses required for the proposed certificate will be piloted in the 2019 winter, spring and summer terms. As the Certificate will not have approval at that point in time, it is also requested that the students who complete the required courses prior to approval of the this program be granted transfer credit into the Certificate in School Leadership post hoc.

RECOMMENDATION (FOR DEPARTMENT USE)

Recommendation(s):

January 25, 2019

Rationale for Recommendation:

Reviewer(s):

APPENDIX I:

Proposed program of study

Required Courses:

The proposed Graduate Certificate will have the following two required courses.

1. *Theoretical and Professional Foundations of School Leadership* (EDU 520)
(3 credits; no prerequisite)
Course Description: Using scholarly and professional research, this course focuses on foundational dimensions of school leadership including instructional leadership, fostering effective relationships, supporting the application of foundational knowledge about Indigenous Peoples, visionary leadership, leading learning communities, modeling continuous professional learning, developing leadership capacity, understanding the social context influencing schooling, and managing school operations and resources. (This course is partial fulfillment of the requirements for school leader certification through Alberta's Leadership Quality Standard.)
2. *School Leadership: Theory and Practice* (EDU 521)
(3 credits; Pre-requisite: *Theoretical and Professional Foundations of School Leadership, EDU 520*)
Course Description: This research-based course enables school leaders to hone leadership practices grounded in research to demonstrate mastery of Alberta's Leadership Quality Standard (LQS). Students will explore and further develop understanding, in light of research literature, of the LQS dimensions. This course will include a job embedded learning component in which participants visit, observe, and collaborate with one other school leader or leadership team in a school setting, in which the Alberta Program of Studies is offered, of their choice. The course extends on the concepts and principles found in teacher and introductory school leadership courses in Alberta. (This course is partial fulfillment of the requirements for school leader certification through Leadership Quality Standard.)

Elective Courses:

The two remaining courses will be selected from a list of approved electives from the Faculty of Education.

1. *System Leadership: Theory into Practice EDU 523*
(3 credits; Pre-requisite: *School Leadership: Theory and Practice, EDU 521*)
Course Description. This research-based course enables the development of competencies that executives must demonstrate in their professional practice when leading educational systems. These include building effective relationships; modelling commitment to professional learning; demonstrating visionary leadership; leading learning; ensuring First Nations, Metis and Inuit education for all; strategically directing operations and allocating resources; and supporting effective governance. The course extends on concepts and principles pertinent to all levels of educational system leadership. (This course satisfies the requirement for recommendation to the Alberta Minister of Education for certification under the Superintendent Leadership Quality

January 25, 2019

Standard.)

2. *Special Topics in Educational Leadership EDU 596 (3 credits)*

Course description. Content varies from term to term. Topics announced prior to registration period. The student's transcript carries title descriptive of content. May be repeated.

3. *First Nations, Métis and Inuit Issues for School Leaders EDU 530 (3 credits)*

Course description. This course is designed for current and aspiring school leaders. It will explore the history of policy and legislation in relation to First Nation, Métis and Inuit peoples in Canada. It will inform knowledge of the current state of First Nation, Métis and Inuit education and explore theory in First Nation policy.

A call is out to Faculty of Education Departments to propose electives for the *Graduate Certificate in School Leadership*. e.g. *Curriculum Leadership*.

These courses must be at the graduate level and (at least in part) map on to learning outcomes from the LQS or SLQS. Future courses will be approved by Graduate Academic Affairs Council.

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

2020-2021 University of Alberta Calendar Graduate Program Changes: new Graduate Certificate in School Leadership in the Faculty of Education.

Current	Proposed
<p>[NEW]</p>	<p>Graduate Programs</p> <p><u>Faculty of Education [Graduate]</u></p> <p><u>Faculty of Education</u> <u>11210 - 87 Ave</u> <u>Edmonton AB</u> <u>T6G 2G5</u> educgrad@ualberta.ca</p> <p><u>General Information</u></p> <p><u>The Faculty of Education offers a Graduate Certificate in School Leadership.</u></p> <p><u>The Faculty of Education also offers programs in Educational Policy Studies, Educational Psychology, Educational Studies, Elementary Education and Secondary Education. Information on these programs can be found under separate listings in graduate programs.</u></p> <p><u>Graduate Program Requirements</u></p> <p><u>The Graduate Certificate in School Leadership [Graduate]</u></p> <p><u>The Graduate Certificate in School Leadership offered by the Faculty of Education is for teaching professionals seeking specialization in school leadership. The focus of this certificate is enhancing educators' leadership knowledge, skills and attitudes. Delivery will be a blended format, including both face to face and online courses.</u></p> <p><u>Entrance Requirements</u></p> <p><u>The Faculty's admission requirements are a Bachelor of</u></p>

Education degree with an admission GPA of at least 3.0 on the 4-point scale from the University of Alberta, or an equivalent qualification and standing from a recognized institution. The admission GPA will be calculated on the last ★60 of graded coursework completed, or on the equivalent of the last two years of full-time graded coursework.

Teacher certification or two years of teaching experience are also required.

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

- IELTS minimum overall score of 6.5 with a minimum of 6.5 on each band;
- TOEFL minimum score of 93 (internet-based) with a minimum of 24 on the Speaking and Writing Bands, and a minimum of 20 on the Reading and Listening bands, or equivalent.

Applicants who do not meet the minimum AGPA requirement but have considerable relevant professional experience may also be admissible. Individuals who feel that this situation applies to them are encouraged to contact the Associate Dean, Graduate Studies, Faculty of Education to discuss their status.

Program Requirements

Students are required to complete four ★3 courses for a total of ★12.

Required Courses (★6):

- EDU 520
- EDU 521

Elective Courses (★6):

Students must complete two of the following:

- EDU 523 - System Leadership: Theory into Practice
- EDU 530 - First Nation, Metis and Inuit Issues for School Leaders
- EDU 598 - Special Topics

Length of Program

All components of the certificate must be completed within 4 years of enrollment from first registration for the certificate.

Laddering

Students who complete the certificate in good standing

may be able to use the courses from the certificate to receive advanced standing in selected course-based Master of Education programs in the Faculty of Education. Completion of the certificate does not guarantee admission to a master's degree program. The certificate may be used for both the basis of admission and laddered into the course-based master degree. Details on [laddering](#) can be found in the Calendar under [Regulations of the Faculty of Graduate Studies and Research](#).

Graduate Courses

Graduate courses can be found in [Course Listings](#) under the subject heading Education (EDU).

Justification:

Approved: Faculty of Education Council, February 5, 2019

University of Alberta

Faculty of Education – Graduate Academic Affairs Council (GAAC)

CALENDAR CHANGE REQUEST FORM

Department: **Master's of Education in Educational Studies**

Implementation Type: Normal Early Implementation Calendar Year: 2019

Type of Change:

<input checked="" type="checkbox"/> Introduce Course <small>(Attach completed <i>New Course Questionnaire</i>)</small> <input type="checkbox"/> Delete Course <input type="checkbox"/> Modify Course <small>(Includes editorial changes)</small> <input type="checkbox"/> Update Contact Info	<input type="checkbox"/> Introduce / Delete / Modify Program <small>(Attach completed <i>Program Approval Template</i>)</small> <input type="checkbox"/> Introduce / Delete / Modify Academic Regulations: Admission Requirements, Application Deadlines, Academic Standing Requirements <input type="checkbox"/> Introduce / Delete / Modify Info Listed in [Graduate] Section(s) of the Calendar
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CURRENT	PROPOSED
<small>(Use yellow highlight and strike out for all changes)</small>	<small>(Use <u>yellow highlight and underline</u> all additions)</small>
	<p><u>EDU 520 <i>Theoretical and Professional Foundations of School Leadership</i></u> <u>★ 3 (fi 6) (either term, 3-0-0)</u></p> <p><u>Using scholarly and professional research, this course focuses on foundational dimensions of school leadership. Sections may be offered in a <u>Cost Recovery</u> format at an increased rate of fee assessment; refer to the <u>Fees Payment Guide in the University Regulations and Information for Students</u> section of the Calendar.</u></p>

Rationale:

This course supports students' development of foundational theoretical and professional knowledge pertinent to K-12 school leadership. The content is designed around the nine competencies in Alberta's newly mandated (February 7, 2018) *Leadership Quality Standard (LQS)*. Drawing on current scholarship, professional literature (e.g. ATA Research reports), policies and regulations relevant for school leaders, students will:

- develop an understanding of Alberta Education's *Leadership Quality Standard (LQS)*;
- critically examine and reflect upon research findings and professional literature vis-à-vis leadership competencies as articulated in the LQS;
- apply research findings and theory to professional issues: and
- enhance access to graduate courses for people in rural and remote communities.

Department Chair	Signature	Date
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FACULTY USE ONLY

Change Request Received:	Consultation and Notice of Motion:	Motion Approved:
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QUESTIONNAIRE FOR NEW COURSE PROPOSALS ONLY

1. Course overview (provide an elaboration of the submitted proposed calendar copy)

Theoretical and Professional Foundations of School Leadership (EDU 520)
(3 credits; no prerequisite – **required, any term**)

Course Description: Using scholarly and professional research, this course focuses on foundational dimensions of school leadership including instructional leadership, fostering effective relationships, supporting the application of foundational knowledge about Indigenous Peoples, visionary leadership, leading learning communities, modelling continuous professional learning, developing leadership capacity, understanding the social context influencing schooling, and managing school operations and resources. (This course is partial fulfilment of the requirements for school leader certification through Alberta’s Leadership Quality Standard.)

This course supports students’ development of foundational theoretical and professional knowledge pertinent to K-12 school leadership. The content is designed around the nine competencies in Alberta’s newly mandated (February 7, 2018) *Leadership Quality Standard* (LQS). Drawing on current scholarship, professional literature (e.g. ATA Research reports), policies and regulations relevant for school leaders, students will:

- develop an understanding of Alberta Education’s *Leadership Quality Standard* (LQS);
- critically examine and reflect upon research findings and professional literature vis-à-vis leadership competencies as articulated in the LQS; and,
- apply research findings and theory to professional issues.

The course could be offered in any term (Fall, Winter, Spring, Summer) and will have multiple modes of delivery to meet the demands of the field and to respond to the students’ needs for flexible learning opportunities.

2. Resource requirements (e.g., staffing, technical needs, library resources)

The course will be taught by instructors with knowledge about and experience in school leadership. Instructors will be required to have (lowest degree of) M.Ed. accompanied by educational leadership experience or Ph.D. The course will also use (non-instructor) experts from the field to offer lectures and facilitate special topic seminars.

Initial course development and ongoing curriculum renewal will require the support of instructional designers and educational technology experts for creating resource materials and maintaining eClass modules.

Course delivery will require eClass platform and video-conferencing suite (for limited distance sessions).

Course readings and other resource material will be available online and through library databases. Library tutorials on conducting effective literature searches and the use of the H. T. Coutts educational resource guides will supplement the students' skill development.

H.T Coutts will be commissioned to develop a educational learning guide to add to the digital resources.

Administrative and logistics support for summer sessions and blended-delivery sessions.

3. Brief bibliography (no more than 5 listings)

Bedard, G. J., & Mombourquette, C. P. (2015). Conceptualizing Alberta district leadership practices: A cross-case analysis. *Leadership and Policy in Schools, 14*(2), 233-255.

Griffiths, D., & Portelli, J. P. (2015). *Key questions for educational leaders*. Burlington, ON: Word & Deed Publishing & Edphil Books. (eBook)

Murphy, J. F., & Louis, K. S. (2018). *Positive school leadership: Building capacity and strengthening relationships*. New York, NY: Teachers College Press.

4. Has course been piloted?

The course has been successfully piloted during summer session in 2016, 2017, and 2018.

University of Alberta
 Faculty of Education – Graduate Academic Affairs Council (GAAC)

CALENDAR CHANGE REQUEST FORM

Department: Master's of Education in Educational Studies

Implementation Type: Normal Early **Implementation Calendar Year:** 2020

Type of Change:

<p><input checked="" type="checkbox"/> Introduce Course (Attach completed <i>New Course Questionnaire</i>)</p> <p><input type="checkbox"/> Delete Course</p> <p><input type="checkbox"/> Modify Course (Includes editorial changes)</p> <p><input type="checkbox"/> Update Contact Info</p>	<p><input type="checkbox"/> Introduce / Delete / Modify Program (Attach completed <i>Program Approval Template</i>)</p> <p><input type="checkbox"/> Introduce / Delete / Modify Academic Regulations: Admission Requirements, Application Deadlines, Academic Standing Requirements</p> <p><input type="checkbox"/> Introduce / Delete / Modify Info Listed in [Graduate] Section(s) of the Calendar</p>
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CURRENT <small>(Use <u>yellow highlight and strike out</u> for all changes)</small>	PROPOSED <small>(Use <u>yellow highlight and underline</u> all additions)</small>
	<p>EDU 521 School Leadership: Theory and Practice ★3 (fi 6) (either term, 3-0-3)</p> <p>This research-based course enables school leaders to hone leadership practices grounded in research. Students will explore and further develop understanding of school leadership in light of research literature and practice-based understandings. This course will include a job embedded learning component.</p> <p>Prerequisite: EDU 520.</p> <p>Sections may be offered in a Cost Recovery format at an increased rate of fee assessment; refer to the Fees Payment Guide in the University Regulations and Information for Students section of the Calendar.</p>

Rationale:

Drawing on current scholarship, policies, regulations and cases relevant for Alberta leaders, participants will:

- Extend their understandings of two or more competencies identified in Alberta's *Leadership Quality Standard* (LQS);
- Critically examine and reflect on research findings and professional literature related to two or more leadership competencies described in the LQS and identified by the individual learner as specific areas of focus; and,
- Apply research findings, theory, and experience to a variety of systemic and decision-making issues, particularly those related to the LQS competencies identified by the learner as the primary focus of their academic and job-embedded learning in this course.

Department Chair	Signature	Date
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FACULTY USE ONLY		
Change Request Received:	Consultation and Notice of Motion:	Motion Approved:

QUESTIONNAIRE FOR NEW COURSE PROPOSALS ONLY

1. Course overview (provide an elaboration of the submitted proposed calendar copy)

Course Description:

School Leadership: Theory and practice (EDU521)

(3 credits; Pre-requisite: EDU 520 *Theoretical and Professional Foundations of School Leadership*)

This research-based course enables school leaders to hone leadership practices grounded in research to demonstrate mastery of Alberta's Leadership Quality Standard (LQS). Students will explore and further develop understanding, in light of research literature and practice-based understandings, of the LQS dimensions. This course will include a job embedded learning component in which participants visit, observe, and collaborate with one other school leader or leadership team in a school setting, in which the Alberta Program of Studies is offered, of their choice. The course extends on the concepts and principles found in teacher and introductory school leadership courses in Alberta.

This course supports aspiring and novice educational administrators' development of those knowledge, skills and abilities pertinent to leadership in a school setting. The content is specifically designed to enable learners to self-identify a minimum of two leadership competencies, vis-à-vis the Alberta *Leadership Quality Standard (2018)*, on which to focus their academic and professional learning

Drawing on current scholarship, policies, regulations and cases relevant for Alberta leaders, participants will:

- Extend their understandings of two or more competencies identified in Alberta's *Leadership Quality Standard (LQS)*;
- Critically examine and reflect on research findings and professional literature related to two or more leadership competencies described in the LQS and identified by the individual learner as specific areas of focus; and,
- Apply research findings, theory, and experience to a variety of systemic and decision-making issues, particularly those related to the LQS competencies identified by the learner as the primary focus of their academic and job-embedded learning in this course.

2. Resource requirements (e.g., staffing, technical needs, library resources)

To meet the demands of the field and to respond to fully employed adults' demands for flexible learning opportunities, this course may be delivered at alternate times during the academic year and spring/summer session through multiple modes, including face-to-face, online, and/or blended learning, and through a job-embedded experience in a K-12 school of each participant's choosing. The course will be taught by faculty and sessional instructors with appropriate knowledge about and experience in school leadership. Course development for online/blended learning will require the support of instructional designers and technology experts for uploading to eClass. Job embedded experiences will require administrative support for ensuring learner identified placements meet the course learning objectives. Readings will be available online and

through library databases. Because networking skill is crucial in system leadership, participants will also be introduced to the current and emerging array of networking technologies (e.g., current possible technologies include: Zoom, Skype, BlueJeans, WeChat, Adobe Connect).

3. Brief bibliography (no more than 5 listings)

Dudar, L., Scott, S., & Scott, D. (2017). *Accelerating change in schools: Leading rapid, successful, and complex change initiatives*. Bingley, UK: Emerald.

Harris, J., Carrington, S., & Ainscow, M. (2018). *Promoting equity in Schools: Collaboration, inquiry, and ethical Leadership*. New York, NY: Routledge.

Heffeman, A. (2018). *The principal and school improvement: Theorising discourse, policy, and practice*. New York, NY: Springer.

Lopez, A. E. (2016). *Culturally responsive and socially just leadership in diverse contexts: From theory to action*. New York, NY: Palgrave Macmillan.

4. Has course been piloted?

The course will be piloted in spring 2019

University of Alberta

Faculty of Education – Graduate Academic Affairs Council (GAAC)

CALENDAR CHANGE REQUEST FORM

Department: **Master's of Education in Educational Studies**

Implementation Type: Normal Early Implementation Calendar Year: 2019

Type of Change:

<input checked="" type="checkbox"/> Introduce Course (Attach completed <i>New Course Questionnaire</i>) <input type="checkbox"/> Delete Course <input type="checkbox"/> Modify Course (Includes editorial changes) <input type="checkbox"/> Update Contact Info	<input type="checkbox"/> Introduce / Delete / Modify Program <small>(Attach completed <i>Program Approval Template</i>)</small> <input type="checkbox"/> Introduce / Delete / Modify Academic Regulations: Admission Requirements, Application Deadlines, Academic Standing Requirements <input type="checkbox"/> Introduce / Delete / Modify Info Listed in [Graduate] Section(s) of the Calendar
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CURRENT <small>(Use <u>yellow highlight and strike out</u> for all changes)</small>	PROPOSED <small>(Use <u>yellow highlight and underline</u> all additions)</small>
	<p>EDU 523 System Leadership: Theory and practice ★ 3 (fi 6) (either term, 3-0-0)</p> <p>This research-based course enables the development of competencies that executives must demonstrate in their professional practice when leading large educational systems. The course extends on concepts and principles pertinent to all levels of educational system leadership. Prerequisite: 521</p> <p>Sections may be offered in a Cost Recovery format at an increased rate of fee assessment; refer to the Fees Payment Guide in the University Regulations and Information for Students section of the Calendar.</p>
<p>Rationale:</p> <p>This course supports experienced educational administrators' development of those knowledge, skills and abilities pertinent to leadership in any large-educational system. The content is specifically designed around the seven competencies in Alberta's newly-mandated (February 7, 2018) <i>Superintendent Leadership Quality Standard</i> (LQS), but which are germane for all K-12 and higher education organizations. Drawing on current scholarship, policies, regulations and cases relevant for Alberta leaders, participants will:</p> <ul style="list-style-type: none"> develop an understanding of Alberta Education's <i>Superintendent Leadership Quality Standard</i> (SLQS); critically examine and reflect upon research findings and professional literature vis-à-vis leadership competencies as articulated in the SLQS; and, apply research findings, theory and experience to a variety of systemic and decision-making issues presented in case form. 	

Department Chair	Signature	Date
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FACULTY USE ONLY		
Change Request Received:	Consultation and Notice of Motion:	Motion Approved:

QUESTIONNAIRE FOR NEW COURSE PROPOSALS ONLY

1. Course overview (provide an elaboration of the submitted proposed calendar copy)

Course Description:

System Leadership: Theory into practice (EDUxxx)

(3 credits; Pre-requisite: EDU 5xx School Leadership: Theory and Practice – required for those participants seeking Ministry certification; or three years' experience as administrator in an educational organization for those not seeking certification)

This research-based course enables the development of competencies that executives must demonstrate in their professional practice when leading large educational systems. These include building effective relationships; modelling commitment to professional learning; demonstrating visionary leadership; leading learning; ensuring First Nations, Metis and Inuit education for all; strategically directing operations and allocating resources; and supporting effective governance. The course extends on concepts and principles pertinent to all levels of educational system leadership. This course satisfies the requirement for recommendation to the Alberta Minister of Education for certification under the Superintendent Leadership Quality Standard.

This course supports experienced educational administrators' development of those knowledge, skills and abilities pertinent to leadership in any large-educational system. The content is specifically designed around the seven competencies in Alberta's newly-mandated (February 7, 2018) *Superintendent Leadership Quality Standard* (LQS), but which are germane for all K-12 and higher education organizations. Drawing on current scholarship, policies, regulations and cases relevant for Alberta leaders, participants will:

- develop an understanding of Alberta Education's *Superintendent Leadership Quality Standard* (SLQS);
- critically examine and reflect upon research findings and professional literature vis-à-vis leadership competencies as articulated in the SLQS; and,
- apply research findings, theory and experience to a variety of systemic and decision-making issues presented in case form

2. Resource requirements (e.g., staffing, technical needs, library resources)

To meet the demands of the field and to respond to fully employed adults' demands for flexible learning opportunities, this course may be delivered at alternate times during the academic year and spring/summer session through multiple modes, including f2f, online and/or blended learning, and through a one-week summer institute. The course will be taught by faculty and sessionals with appropriate knowledge about and experience in system leadership. Course development for online/blended learning will require the support of instructional designers and technology experts for uploading to eClass. Summer institutes will require administrative support for registration, arrangement of guest speakers and concurrent session facilitators, and potentially, coordination in an international setting. Readings will be available online and through library databases. Because networking skill is crucial in system leadership, participants will also be

introduced to the current array of networking technologies available, ranging from Zoom to Skype to Blue Jeans to WeChat, among others.

3. Brief bibliography (no more than 5 listings)

Beatriz, P., Deborah, N., & Hopkins, D. (2008). *Improving School Leadership: Case Studies on System Leadership*, Vol. 2. OECD Publishing.

Bryson, J. M. (2018). *Strategic planning for public and nonprofit organizations: A guide to strengthening and sustaining organizational achievement*. John Wiley & Sons.

Fullan, M. (2005). *Leadership & sustainability: System thinkers in action*. Corwin Press.

Galway, G., & Sheppard, B. (2015). Research and evidence in education decision-making: A comparison of results from two Pan-Canadian Studies. *Education Policy Analysis Archives*, 23(109).

Northouse, P. & Lee, M. (2018) *Leadership case studies in education*, 2nd edition. Sage.

4. Has course been piloted?

The course will be piloted in spring/summer 2019

University of Alberta

Faculty of Education – Graduate Academic Affairs Council (GAAC)

CALENDAR CHANGE REQUEST FORM

Department: Masters of Education in Educational Studies

Implementation Type: Normal Early

Implementation Calendar Year: 2019

Type of Change:

<input checked="" type="checkbox"/> Introduce Course (Attach completed <i>New Course Questionnaire</i>) <input type="checkbox"/> Delete Course <input type="checkbox"/> Modify Course (Includes editorial changes) <input type="checkbox"/> Update Contact Info	<input type="checkbox"/> Introduce / Delete / Modify Program (Attach completed <i>Program Approval Template</i>) <input type="checkbox"/> Introduce / Delete / Modify Academic Regulations: Admission Requirements, Application Deadlines, Academic Standing Requirements <input type="checkbox"/> Introduce / Delete / Modify Info Listed in [Graduate] Section(s) of the Calendar
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CURRENT <small>(Use yellow highlight and strike out for all changes)</small>	PROPOSED <small>(Use <u>yellow highlight and underline</u> all additions)</small>
	<p><u>EDU 530 <i>First Nations, Métis and Inuit Issues for School Leaders</i></u> <u>★ 3 (fi 6) (either term, 3-0-0)</u></p> <p><u>The course will explore the history of policy and legislation in relation to First Nations, Métis, and Inuit peoples in Canada to inform school leaders. It will further inform knowledge of the current state of First Nations, Métis and Inuit education and explore some of the existing theory in First Nation policy. Sections may be offered in a Cost Recovery format at an increased rate of fee assessment; refer to the Fees Payment Guide in the University Regulations and Information for Students section of the Calendar.</u></p>

Rationale:

The course supports the development of foundational knowledge about First Nations, Metis and Inuit peoples. Course content is focused on the newly mandated (February 7, 2018) Leadership Quality Standard (LQS) Number 5. Through the exploration of existing literature, historical and current policies students will:

- understand the history and context of policy of First Nation, Metis and Inuit education;
- explore the issues and challenges that impact FNMI education;
- being to identify ways to address the ‘achievement gap’.

Department Chair	Signature	Date
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FACULTY USE ONLY		
Change Request Received:	Consultation and Notice of Motion:	Motion Approved:

QUESTIONNAIRE FOR NEW COURSE PROPOSALS ONLY

1. Course overview (provide an elaboration of the submitted proposed calendar copy)

Course Description:

EDU530 First Nations, Métis, Inuit Issues for School Leaders

(3 credits)

The course supports the development of foundational knowledge about First Nations, Metis and Inuit peoples. Course content is focused on the newly mandated (February 7, 2018) Leadership Quality Standard (LQS) Number 5. Through the exploration of existing literature, historical and current policies students will:

- understand the history and context of policy of First Nation, Metis and Inuit education;
- explore the issues and challenges that impact FNMI education;
- being to identify ways to address the ‘achievement gap’.

2. Resource requirements (e.g., staffing, technical needs, library resources)

To meet the demands of the field and to respond to professional educators demands for flexible learning opportunities, this course may be delivered at alternate times during the academic year and spring/summer session through multiple modes, including face-to-face, online, and/or blended learning. The course will be taught by faculty and sessional instructors with appropriate knowledge and experience. Course development for online/blended learning will require the support of instructional designers and technology experts for uploading to eClass.

3. Brief bibliography (no more than 5 listings)

Abele, F., Dittburner, C., & Graham, K. (2000). Towards a Shared Understanding in the Policy Discussion about Aboriginal Education in Aboriginal Education; Fullfilling the Promise. (pp. 3-23). Vancouver. UBC Press

Crooks, C. et.al (2015). A case study of culturally relevant school-based programming for First Nations youth; improved relationships, confidence and leadership, and school success. *Advances in School Mental Health Promotion*, 8:4, 216-230.

Milloy, John S. (1999). *A National Crime: The Canadian government and the residential school system, 1879-1986*. Winnipeg: The University of Manitoba Press

Paquette, J. & Fallon, G. (2012). *First Nations Education Policy in Canada; progress or gridlock*. Toronto. University of Toronto Press

Youngblood Henderson, J. (1995). Treaties and Indian Education. In Battiste, M. & Barman. J. (Eds.). *First Nations Education in Canada; The Circle Unfolds*. Vancouver. UBC Press
<http://www.deslibris.ca/ID/404195>

4. Has course been piloted?

The course will be piloted in fall 2019.

University of Alberta
Faculty of Education – Graduate Academic Affairs Council (GAAC)

CALENDAR CHANGE REQUEST FORM

Department: Master's of Education in Educational Studies

Implementation Type: Normal Early **Implementation Calendar Year:** 2019

Type of Change:

<input checked="" type="checkbox"/> Introduce Course (Attach completed <i>New Course Questionnaire</i>) <input type="checkbox"/> Delete Course <input type="checkbox"/> Modify Course (Includes editorial changes) <input type="checkbox"/> Update Contact Info	<input type="checkbox"/> Introduce / Delete / Modify Program <small>(Attach completed <i>Program Approval Template</i>)</small> <input type="checkbox"/> Introduce / Delete / Modify Academic Regulations: <small>Admission Requirements, Application Deadlines, Academic Standing Requirements</small> <input type="checkbox"/> Introduce / Delete / Modify Info Listed in [Graduate] Section(s) of the Calendar
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CURRENT <small>(Use <u>yellow highlight and strike out</u> for all changes)</small>	PROPOSED <small>(Use <u>yellow highlight and underline</u> all additions)</small>
	<p><u>EDU 596 <i>Special Topics in Educational Leadership</i></u> <u>★ 3 (fi 6) (either term, 3-0-0)</u></p> <p><u>Content varies from term to term. Topics announced prior to registration period. The student's transcript carries title descriptive of content. May be repeated. Sections may be offered in a Cost Recovery format at an increased rate of fee assessment; refer to the Fees Payment Guide in the University Regulations and Information for Students section of the Calendar.</u></p>

Rationale:

This course supports students' development of foundational theoretical and professional knowledge pertinent to K-12 school leadership. The content is designed around the nine competencies in Alberta's newly mandated (February 7, 2018) *Leadership Quality Standard* (LQS). Drawing on current scholarship, professional literature (e.g. ATA Research reports), policies and regulations relevant for school leaders, students will:

- develop an understanding of Alberta Education's *Leadership Quality Standard* (LQS);
- critically examine and reflect upon research findings and professional literature vis-à-vis leadership competencies as articulated in the LQS;
- apply research findings and theory to professional issues: and
- enhance access to graduate courses for people in rural and remote communities.

Department Chair	Signature	Date
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FACULTY USE ONLY

Change Request Received:	Consultation and Notice of Motion:	Motion Approved:
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As per [GFC Policy 37.3.7](#), Faculties seeking changes to existing programs must consider and seek the agreement to any impact of the proposed program changes on the library system and on course enrolments in other academic units. In addition, any new program proposal going forward for approval will require a service impact statement. Where the affected Faculties and/or Library are in agreement this statement will note that fact and details of the arrangement.

Please contact your subject librarian to solicit feedback on your program proposal and request a Library Impact Statement.

Library Contact:

Name: Katherine Koch	Date: September 7, 2018
Library Unit: H.T. Coumts Library: Education, Kinesiology, Sport, and Recreation	Email: katherine.koch@ualberta.ca

Program Proposal Contact:

Name: Heather Kanuka	Dept./School: Professor Educational Policy Studies
Faculty: Education	E-mail: hakanuka@ualberta.ca

Proposed Program Changes:

<p><i>Insert specific program proposal name here</i> Leadership Quality Standards for school leaders (Post Baccalaureate Certificate) 4 new courses on site and online (hybrid blend) 20-25 potential students</p>
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Library Service or Resource	Description of Library Impact
Instruction (e.g., classes with a librarian, tours, online resource guides, online tutorials, etc.)	<p>Instruction related to searching for research information through library resources and on the open internet may be useful for students in the program.</p> <p>The Libraries offer a range of <u>drop in research workshops</u> throughout the academic year to assist students with their research needs. In addition, <u>online instructional guides</u> and <u>tutorials</u> are accessible via the Libraries' web site to support the research process. Course/assignment specific instruction may also be useful. Please contact the appropriate <u>subject librarian</u> to discuss.</p>
Reference assistance (e.g., ongoing one-on-one help)	<p>The subject librarian will be able to accommodate requests for assistance via email, phone, or Skype.</p> <p>General reference assistance is available at all University of Alberta Libraries <u>service desks</u>. In addition, <u>subject librarians</u> are available for one-to-one consultations for specialized assistance. <u>Ask us services</u> are also available via chat, email and phone.</p>

<p>Collections – reserves, print, electronic [note any impacts on simultaneous users, licensing considerations etc.]</p>	<p>The Libraries' current subscriptions to print and electronic journals and books should adequately support this program. Any items that are not available and/or accessible through the Libraries can be requested through <u>Interlibrary Loan</u>.</p> <p>Journals and electronic resources with particular relevance to this program include:</p> <ul style="list-style-type: none"> • Education database • Education Research Complete • ERIC via Ebscohost • Business Source Complete <p>Submit <u>course reading list</u> and <u>reserve requests</u> online. The Libraries will respond within 5 business days with persistent links to online resources on your reading list. Print items will be referred to our Reserve staff and processed within 10 days.</p>
<p>Collaboration with other UAL library units, if interdisciplinary program (consult with the other UAL units affected and include their comments with yours)</p>	<p>The program has some implications for the business library resources; given the excellent strength of the business collections and finding tools developed by the Winspear Business Library, no further impact will be experienced by this unit.</p>
<p>Physical facilities (e.g., sufficient room for group work; in-library work, etc.)</p>	<p>This program is not likely to require additional physical facilities for enrolled students..</p> <p>For those students who do reside in Edmonton, physical facilities are in place to support student research needs. There are bookable group <u>study spaces</u>, as well as collaborative and individual study spaces in all library locations across.</p>
<p>Other (specify)</p>	

- Proposal has an impact on the Libraries and can be supported.
- Proposal can be supported with additional resources; see attached details.
- Proposal has no impact on the Libraries.

Unit Head Signature: _____ Date: Sept. 10/18

Associate University Librarian Signature: Chara Myj Date: September 10/18

January 3, 2019

To whom it may concern,

I have been asked to provide an external evaluation of the certificate proposal for a *Graduate Certificate in School Leadership* proposed by the Faculty of Education at the University of Alberta. I am an established researcher and teacher in the area of educational leadership, and I am aware of the context for school leadership preparation that has been developing in the province of Alberta over the past number of years. As such, I believe I can provide an informed and arms length evaluation of the proposed certificate.

The proposed certificate is being developed by two units with a long history of leadership development and preparation in the province of Alberta. As such, the structure and content of the certificate is well grounded in the contexts of practice in the province and reflects the contributions of scholars and leaders of the highest quality. I have also noted that the delivery of the certificate is intended to be blended and flexible meeting the needs of practicing leaders and leadership aspirants. I especially commend the delivery model that includes collaboration with rural school jurisdictions and the potential for community-based face-to-face offerings.

I was provided with brief descriptions of the two required courses and two electives for review. The two required courses identified in the proposal clearly link to the Alberta competencies for school leaders. The proposed courses draw upon current literature from Canadian and international authors. The resources listed in the proposal would seem to provide sufficient scope and breadth for significant scholarly engagement with the field of educational leadership. Additionally, the resources presented appear to be appropriately grounded in school leadership practice to ensure a relevant experience for school leadership and system leadership aspirants. They also seem carefully chosen to be broad enough for both principalship and superintendent leadership development. The second of the required courses engages students in collaborative and field-based inquiry into problems of practice. This is an innovative design that incorporates students' growth toward competence as a central element in the course. One elective entitled "System Leadership: Theory into Practice" is focused on development of competencies to meet the *Superintendent Leadership Quality Standard*. The course appears well developed and draws on appropriate and current Canadian and international literature that will support the development of system leadership competencies. The second elective, "*First Nation Metis and Inuit Issues for School Leaders*" addresses the need for school and system leaders to be aware of and capable of responding to the needs of FNMI students and to lead educational institutions that are inclusive of indigenous knowledge and perspectives. The resources listed are appropriate for introducing issues in FNMI education.

In conclusion, I would like to indicate my support for this proposal. Both the Master of Education program and the Educational Administration and Leadership specialization group have a long history of preparing educational leaders in the province of Alberta and beyond. I content these two units are the most qualified to develop and implement this important work. The content, design, and delivery models for the graduate certificate are well conceived, rigorous, and appropriately grounded in the contexts of practice of educational leadership. In particular, I commend the developers for designing a program that can be flexibly delivered and potentially offered in community. I believe this certificate incorporates best practice in educational leadership preparation, in that it maintains a focus on competency attainment, employs field-based pedagogy to explore problems of practice, and integrates scholarship and research with knowledge of contexts of practice. I would be happy to provide further feedback on this proposal if requested.

Sincerely,



Dr. Paul Newton
Professor and Department Head,
Educational Administration
College of Education
Editor in Chief, Canadian Journal of Educational Administration and Policy
paul.newton@usask.ca

Alberta Education
Leadership Quality
Standard



Leadership Quality Standard

Whereas

Alberta's teachers, students, parents, educational leaders, and members of the public have a strong will to ensure all Alberta students have access to quality learning experiences that enable their achievement of the learning outcomes outlined in programs of study.

Whereas

the success of all members of the school community requires inclusive environments in which diversity is respected and members of the school community are welcomed, cared for, respected, and safe.

Whereas

principals and school jurisdiction leaders play a fundamental role in establishing and supporting the conditions under which the learning aspirations and the potential of First Nations, Métis and Inuit students will be realized.

Whereas

principals and school jurisdiction leaders have an important role in fostering collaboration, engagement and empowerment of all partners in the education system to enable all students to achieve their potential.

Whereas

principals and school jurisdiction leaders in Alberta schools are accomplished teachers able to create the conditions within which quality teaching and optimum learning can occur and be sustained.

Whereas

the *Leadership Quality Standard* provides a framework to support the professional growth, supervision and evaluation of all principals and school jurisdiction leaders.

Whereas

students, parents and other partners in education should be confident that Alberta principals and school jurisdiction leaders demonstrate the *Leadership Quality Standard* throughout their careers.

Whereas

it is important to recognize the value of a consistent standard of professional practice for all principals and school jurisdiction leaders in the province.

Leadership Quality Standard

1. In the context of this document:

- (a) **“competency”** means an interrelated set of knowledge, skills, and attitudes developed over time and drawn upon and applied to a particular leadership context in order to support quality leadership, teaching and optimum learning as required by the *Leadership Quality Standard*;
- (b) **“inclusive learning environment”** means a classroom, school, on-line learning environment or other educational setting structured to anticipate, value and respond to the diverse strengths and needs of all learners.
- (c) **“indicators”** means actions that are likely to lead to the achievement of a competency and which, together with the competency, are measurable and observable;
- (d) **“leader”** means a principal or school jurisdiction leader;
- (e) **“local community”** means community members who have an interest in education and the school community, including neighbouring Métis settlements, First Nations and other members of the public;
- (f) **“principal”** means, for the purposes of this standard, principal as defined in the *School Act*, assistant principal, associate principal, vice principal;
- (g) **“reconciliation”** means the process and goal of creating societal change through a fundamental shift in thinking and attitudes, increasing inter-cultural understanding to build a better society through learning about First Nations, Métis and Inuit perspectives and experiences, including residential schools and treaties;
- (h) **“school authority”** means a public school board, separate school board, Francophone regional authority, charter school operator or accredited private school operator;
- (i) **“school community”** means the staff of the school authority, along with students, parents/guardians and school council members;
- (j) **“school council”** means a school council established under the *School Act*, or a parent advisory council established under the *Private Schools Regulation*;
- (k) **“school jurisdiction”** means a public school board, separate school board, Francophone regional authority, or charter school operator;
- (l) **“school jurisdiction leader”** means a central office staff member, other than the superintendent or chief deputy superintendent, required by their leadership position to hold an Alberta teaching certificate;
- (m) **“staff”** means all certificated and non-certificated persons whose role in the school is to provide educational and support services to students;
- (n) **“student”** means, for the purposes of this standard, an individual enrolled in a school or required by law to attend, and includes a child younger than 6 years of age who is enrolled in an early childhood services program;
- (o) **“superintendent”** means a superintendent appointed by a board pursuant to the *School Act* and the chief deputy superintendent, if any, as referred to in the *Teaching Profession Act*; and
- (p) **“teacher”** means an individual who holds a certificate of qualification as a teacher issued under the *School Act*.

2. The *Leadership Quality Standard*:

Quality leadership occurs when the leader’s ongoing analysis of the context, and decisions about what leadership knowledge and abilities to apply, result in quality teaching and optimum learning for all school students.

3. The *Leadership Quality Standard* applies to all leaders employed in a school authority. All leaders are expected to meet the *Leadership Quality Standard* throughout their careers. Principals as defined under the *School Act* are accountable for the demonstration of all the competencies. Other leaders are responsible for the demonstration of competencies directly related to their assigned role. In any given context, reasoned professional judgment must be used to determine whether the *Leadership Quality Standard* is being met.

4. The *Leadership Quality Standard* is described by the following competencies and indicators:

Fostering Effective Relationships

1. A leader builds positive working relationships with members of the school community and local community.

Achievement of this competency is demonstrated by indicators such as:

- (a) acting with fairness, respect and integrity;
- (b) demonstrating empathy and a genuine concern for others;
- (c) creating a welcoming, caring, respectful and safe learning environment;
- (d) creating opportunities for parents/guardians, as partners in education, to take an active role in their children's education;
- (e) establishing relationships with First Nations, Métis and Inuit parents/guardians, Elders/knowledge keepers, local leaders and community members;
- (f) demonstrating a commitment to the health and well-being of all teachers, staff and students;
- (g) acting consistently in the best interests of students;
- (h) engaging in collegial relationships while modeling and promoting open, collaborative dialogue;
- (i) communicating, facilitating and solving problems effectively; and
- (j) implementing processes for improving working relationships and dealing with conflict within the school community.

Modeling Commitment to Professional Learning

2. A leader engages in career-long professional learning and ongoing critical reflection to identify opportunities for improving leadership, teaching, and learning.

Achievement of this competency is demonstrated by indicators such as:

- (a) engaging with others such as teachers, principals and other leaders to build personal and collective professional capacities and expertise;
- (b) actively seeking out feedback and information from a variety of sources to enhance leadership practice;
- (c) seeking, critically reviewing and applying educational research to inform effective practice;
- (d) engaging members of the school community to build a shared understanding of current trends and priorities in the Education system.

Embodying Visionary Leadership

3. A leader collaborates with the school community to create and implement a shared vision for student success, engagement, learning and well-being.

Achievement of this competency is demonstrated by indicators such as:

- (a) communicating a philosophy of education that is student-centred and based on sound principles of effective teaching and leadership;
- (b) recognizing the school community's values and aspirations and demonstrating an appreciation for diversity;
- (c) collaborating with other leaders and superintendents to address challenges and priorities;
- (d) supporting school community members, including school councils, in fulfilling their roles and responsibilities;
- (e) promoting innovation, enabling positive change, and fostering commitment to continuous improvement; and
- (f) accessing, sharing and using a range of data to determine progress towards achieving goals.

Leading a Learning Community

4. A leader nurtures and sustains a culture that supports evidence-informed teaching and learning.

Achievement of this competency is demonstrated by indicators such as:

- (a) fostering in the school community equality and respect with regard to rights as provided for in the *Alberta Human Rights Act* and the *Canadian Charter of Rights and Freedoms*;
- (b) creating an inclusive learning environment in which diversity is embraced, a sense of belonging is emphasized, and all students and staff are welcomed, cared for, respected, and safe;
- (c) developing a shared responsibility for the success of all students;
- (d) cultivating a culture of high expectations for all students and staff;
- (e) creating meaningful, collaborative learning opportunities for teachers and support staff;
- (f) establishing opportunities and expectations for the positive involvement of parents/guardians in supporting student learning;
- (g) creating an environment for the safe and ethical use of technology;
- (h) collaborating with community service agencies to provide wrap-around supports for all students who may require them, including those with mental health needs; and
- (i) recognizing student and staff accomplishments.

Supporting the Application of Foundational Knowledge about First Nations, Métis and Inuit

5. A leader supports the school community in acquiring and applying foundational knowledge about First Nations, Métis and Inuit for the benefit of all students.

Achievement of this competency is demonstrated by indicators such as:

- (a) understanding the historical, social, economic, and political implications of:
 - treaties and agreements with First Nations;
 - legislation and agreements negotiated with Métis; and
 - residential schools and their legacy;
- (b) aligning resources and building the capacity of the school community to support First Nations, Métis and Inuit student achievement;
- (c) enabling all school staff and students to gain a knowledge and understanding of, and respect for, the histories, cultures, languages, contributions, perspectives, experiences and contemporary contexts of First Nations, Métis and Inuit; and
- (d) pursuing opportunities and engaging in practices to facilitate reconciliation within the school community.

Providing Instructional Leadership

6. A leader ensures that every student has access to quality teaching and optimum learning experiences.

Achievement of this competency is demonstrated by indicators such as:

- (a) building the capacity of teachers to respond to the learning needs of all students;
- (b) implementing professional growth, supervision and evaluation processes to ensure that all teachers meet the *Teaching Quality Standard*;
- (c) ensuring that student instruction addresses learning outcomes outlined in programs of study;
- (d) facilitating mentorship and induction supports for teachers and principals, as required;
- (e) demonstrating a strong understanding of effective pedagogy and curriculum;
- (f) facilitating the use of a variety of technologies to support learning for all students;
- (g) ensuring that student assessment and evaluation practices are fair, appropriate, and evidence-informed;
- (h) interpreting a wide range of data to inform school practice and enable success for all students; and
- (i) facilitating access to resources, agencies and experts within and outside the school community to enhance student learning and development.

Developing Leadership Capacity

7. A leader provides opportunities for members of the school community to develop leadership capacity and to support others in fulfilling their educational roles.

Achievement of this competency is demonstrated by indicators such as:

- (a) demonstrating consultative and collaborative decision-making that is informed by open dialogue and multiple perspectives;
- (b) identifying, mentoring and empowering teachers in educational leadership roles;
- (c) promoting the engagement of parents in school council(s) and facilitating the constructive involvement of school council(s) in school life;
- (d) creating opportunities for students to participate in leadership activities and to exercise their voice in school leadership and decision making; and
- (e) promoting team building and shared leadership among members of the school community.

Managing School Operations and Resources

8. A leader effectively directs operations and manages resources.

Achievement of this competency is demonstrated by indicators such as:

- (a) identifying and planning for areas of need;
- (b) applying principles of effective teaching and learning, child development, and ethical leadership to all decisions;
- (c) aligning practices, procedures, policies, decisions, and resources with school and school authority visions, goals and priorities;

- (d) following through on decisions made by allocating resources (human, physical, technological and financial) to provide the learning environments and supports needed to enable and/or improve learning for all students;
- (e) facilitating access to appropriate technology and digital learning environments; and
- (f) ensuring operations align with provincial legislation, regulations and policies, and the policies and processes of the school authority.

Understanding and Responding to the Larger Societal Context

9. A leader understands and appropriately responds to the political, social, economic, legal and cultural contexts impacting schools and the school authority.

Achievement of this competency is demonstrated by indicators such as:

- (a) supporting the school community in understanding the legal frameworks and policies that provide the foundations for the Alberta education system;
- (b) representing the needs of students at the community, school authority and provincial levels;
- (c) engaging local community partners to understand local contexts;
- (d) demonstrating an understanding of local, provincial, national, and international issues and trends and their implications for education; and
- (e) facilitating school community members' understanding of local, provincial, national, and international issues and trends related to education.



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Alberta Education
Superintendent
Leadership Quality
Standard



Superintendent Leadership Quality Standard

Whereas

Alberta's teachers, students, parents, educational leaders, and members of the public have a strong will to ensure all Alberta students have access to quality learning experiences that enable their achievement of the learning outcomes outlined in programs of study.

Whereas

the success of all members of the school community in their respective roles requires inclusive environments in which diversity is embraced and its members are welcomed, safe, cared for and respected.

Whereas

superintendents play a fundamental role in establishing and supporting the conditions under which the learning aspirations and the potential of First Nations, Métis and Inuit students are realized.

Whereas

quality leadership occurs best when superintendents collaborate with teachers, principals, school jurisdiction leaders, school councils and parents in enabling all students to achieve their potential.

Whereas

the professional practice of teachers, principals, school jurisdiction leaders and superintendents must be informed by current, relevant educational research, with a focus on career-long improvement.

Whereas

it is important to recognize the value of a consistent standard of professional practice for all superintendents in the province.

Superintendent Leadership Quality Standard

1. In the context of this document:

- (a) **“board”**, in this document, means the governing body of a public school authority, separate school authority, Francophone regional authority or charter school operator;
- (b) **“competency”** means an interrelated set of knowledge, skills, and attitudes developed over time and drawn upon and applied to a particular leadership context in order to support quality leadership, teaching and optimum learning as required by the *Superintendent Leadership Quality Standard*;
- (c) **“indicators”** means actions that are likely to lead to the achievement of the competency and which, together with the competency, are measurable and observable;
- (d) **“local community”** means community members residing in or near the school authority who have an interest in education and school authority operations, including neighbouring Métis settlements, First Nations and other members of the public;
- (e) **“principal”** means, for the purposes of this standard, principal as defined in the *School Act*, assistant principal, associate principal, or vice principal;
- (f) **“reconciliation”** means the process and goal of creating societal change through a fundamental shift in thinking and attitudes, increasing inter-cultural understanding to build a better society through learning about First Nations, Métis and Inuit perspectives and experiences, including residential schools and treaties;
- (g) **“school authority”** means a public school board, separate school board, Francophone Regional Authority or charter school operator;
- (h) **“school community”** means the staff of the school authority, along with students, parents/guardians and school council members;
- (i) **“school council”** means a school council established under the *School Act*;
- (j) **“school jurisdiction leader”** means a central office staff member in a school authority, other than the superintendent or chief deputy superintendent, required by their leadership position to hold an Alberta teaching certificate;
- (k) **“staff”** means all certificated and non-certificated persons whose role in the school authority is to provide educational and support services to students;
- (l) **“student”** means, for the purposes of this standard, an individual enrolled in a school or required by law to attend, and includes a child younger than 6 years of age who is enrolled in an early childhood services program;
- (m) **“superintendent”** means a superintendent appointed by a board pursuant to the *School Act* and the chief deputy superintendent, if any, as referred to in the *Teaching Profession Act*; and,
- (n) **“teacher”** means an individual who holds a certificate of qualification as a teacher issued under the *School Act*.

2. The Superintendent Leadership Quality Standard:

Quality superintendent leadership occurs when the superintendent’s ongoing analysis of the context, and the superintendent’s decisions about what leadership knowledge and abilities to apply, result in quality school leadership, quality teaching and optimum learning for all students in the school authority.

3. The *Superintendent Leadership Quality Standard* applies to superintendents. All superintendents are expected to meet the *Superintendent Leadership Quality Standard* throughout their careers. The superintendent of schools as referred to in the *School Act* is accountable for the demonstration of all of the competencies identified in the *Superintendent Leadership Quality Standard*. The chief deputy superintendent is accountable for the demonstration of all of the competencies directly related to their assigned role(s) under the direction of the superintendent of schools. In any given context, reasoned professional judgment must be used to determine whether the *Superintendent Leadership Quality Standard* is being met.

4. The *Superintendent Leadership Quality Standard* is described by the following competencies and indicators:

Building Effective Relationships

1. **A superintendent establishes a welcoming, caring, respectful and safe learning environment by building positive and productive relationships with members of the school community and the local community.**

Achievement of this competency is demonstrated by indicators such as:

- (a) collaborating with community and provincial agencies to address the needs of students and their families;
- (b) employing team-building strategies and using solution-focused processes to resolve challenges;
- (c) building and sustaining relationships with First Nations, Métis and Inuit parents/guardians, Elders, local leaders and community members;

- (d) modeling ethical leadership practices, based on integrity and objectivity;
- (e) establishing constructive relationships with students, staff, school councils, parents/guardians, employee organizations, the education ministry and other stakeholder organizations; and
- (f) facilitating the meaningful participation of members of the school community and local community in decision-making.

Modeling Commitment to Professional Learning

2. **A superintendent engages in career-long professional learning and ongoing critical reflection, identifying and acting on research-informed opportunities for enhancing leadership, teaching, and learning.**

Achievement of this competency is demonstrated by indicators such as:

- (a) communicating a philosophy of education that is student-centered and based on sound principles of effective teaching and leadership;
- (b) collaborating with teachers, principals, school jurisdiction leaders and other superintendents to build professional capacities and expertise;
- (c) actively seeking out feedback and information from a variety of sources to enhance leadership practice;
- (d) seeking and critically-reviewing educational research and applying it to decisions and practices, as appropriate;
- (e) providing leadership to support school authority research initiatives, where appropriate; and
- (f) engaging teachers, principals, school jurisdiction leaders, school community and local community members to establish a shared understanding of current trends and priorities in the education system.

Visionary Leadership

3. A superintendent engages with the school community in implementing a vision of a preferred future for student success, based on common values and beliefs.

Achievement of this competency is demonstrated by indicators such as:

- (a) ensuring that the vision is informed by research on effective learning, teaching and leadership;
- (b) promoting innovation and continuous improvement by building structures and developing strategies to support staff in professional collaboration;
- (c) promoting in the school community a common understanding of and support for the school authority's goals, priorities, and strategic initiatives; and
- (d) ensuring that the vision expressed in the school authority's education plan is responsive to the ongoing review of the school authority's achievements, meets all requirements identified in provincial legislation, and incorporates the school community's perspectives.

Leading Learning

4. A superintendent establishes and sustains a learning culture in the school community that promotes ongoing critical reflection on practice, shared responsibility for student success and continuous improvement.

Achievement of this competency is demonstrated by indicators such as:

- (a) fostering in the school community equality and respect with regard to rights as provided for in the *Alberta Human Rights Act* and the *Canadian Charter of Rights and Freedoms*;
- (b) providing learning opportunities, based on research-informed principles of effective teaching, learning and leadership, to support building the capacity of all members of the school community to fulfill their educational roles;
- (c) ensuring that all instruction in the school authority addresses learning outcomes outlined in programs of study;
- (d) promoting collegial relations, collaboration, critical thinking and innovation in the school community;
- (e) ensuring that staff have access to resources, programs and expertise to support them in meeting their professional responsibilities and in addressing the learning needs of all students;
- (f) building principals' and school jurisdiction leaders' capacities and holding them accountable for providing instructional leadership through effective support, supervision and evaluation practices; and
- (g) ensuring school authority student assessment and evaluation procedures are fair, appropriate, evidence-informed and used to enhance learning, teaching and leadership.

Ensuring First Nations, Métis and Inuit Education for All Students

5. A superintendent establishes the structures and provides the resources necessary for the school community to acquire and apply foundational knowledge about First Nations, Métis and Inuit for the benefit of all students.

Achievement of this competency is demonstrated by indicators such as:

- (a) supporting staff in accessing the professional learning and capacity-building needed to meet the learning needs of First Nations, Métis, Inuit and all other students;
- (b) engaging and collaborating with neighbouring First Nations and Métis leaders, organizations and communities to optimize learning success and development of First Nations, Métis, Inuit and all other students;
- (c) understanding historical, social, economic, and political implications of:
 - treaties and agreements with First Nations;
 - legislation and agreements negotiated with Métis; and
 - residential schools and their legacy;
- (d) aligning school authority resources and building organizational capacity to support First Nations, Métis and Inuit student achievement; and
- (e) pursuing opportunities and engaging in practices to facilitate reconciliation within the school community.

School Authority Operations and Resources

6. A superintendent directs school authority operations and strategically allocates resources in the interests of all students and in alignment with the school authority's goals and priorities.

Achievement of this competency is demonstrated by indicators such as:

- (a) providing direction on fiscal and resource management in accordance with all statutory, regulatory and school authority requirements;
- (b) ensuring effective alignment of the school authority's human resources to achieve the school authority's education plan;
- (c) delegating responsibility to staff, where appropriate, to enhance operational efficiency and effectiveness;
- (d) providing for the support, ongoing supervision and evaluation of all staff members in relation to their respective professional responsibilities;
- (e) establishing data-informed strategic planning and decision-making processes that are responsive to changing contexts;
- (f) respecting cultural diversity and appreciating differing perspectives expressed in the school community;
- (g) recognizing student and staff accomplishments; and
- (h) implementing programs and procedures for the effective management of human resources in support of mentorship, capacity-building and succession planning.

Supporting Effective Governance

7. A superintendent of schools as referred to in the *School Act*, as chief executive officer of the board and chief education officer of the school authority, provides the board with information, advice and support required for the fulfillment of its governance role, and reports to the Minister on all matters required of the superintendent as identified in the *School Act* and other provincial legislation.

Achievement of this competency is demonstrated by indicators such as:

- (a) establishing and sustaining a productive working relationship with the board, based on mutual trust, respect and integrity;
- (b) ensuring that all students and staff are provided with a welcoming, caring, respectful and safe learning environment that respects diversity and fosters a sense of belonging;
- (c) ensuring that all students in the school authority have the opportunity to meet the standards of education set by the Minister of Education;
- (d) ensuring that the board's plans, resource allocations, strategies and procedures lead to the achievement of its goals and priorities;
- (e) ensuring that the board's fiscal and resource management is in accordance with all statutory, regulatory and board requirements;
- (f) supporting the board in the fulfilment of its governance functions in the fiduciary, strategic and generative realms;
- (g) implementing board policies and supporting the regular review and evaluation of their impact;
- (h) ensuring the support, ongoing supervision and evaluation of all staff members in relation to their respective professional responsibilities;
- (i) facilitating collaboration among the board, staff and First Nations, Métis and Inuit leaders, organizations and communities to establish strategic policy directions in support of First Nations, Métis and Inuit student achievement and development;
- (j) building the capacity of the board and staff to predict, communicate and respond to emergent circumstances, including emergency readiness and crisis management, and to political, social, economic, legal and cultural contexts and trends;
- (k) supporting the board in its engagement with the school community to develop a vision of a preferred future for student success;
- (l) facilitating ongoing public communication about the board's operations and the achievement of its goals and priorities; and
- (m) promoting constructive relations between the board and staff, as well as provincial authorities, post-secondary institutions and education stakeholder organizations.



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**Governance Executive Summary
Action Item**

Agenda Title	Proposed Graduate Certificate in School Leadership and Administration (Certificat d'études supérieures en administration et leadership scolaire), Faculty of Graduate Studies & Research, and Faculté Saint-Jean
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Motion

THAT the Board Learning and Discovery Committee, acting with delegated authority of the Board of Governors and on the recommendation of the GFC Academic Planning Committee, approve a new Graduate Certificate in School Leadership and Administration (Certificat d'études supérieures en administration et leadership scolaire), as submitted by the Faculty of Graduate Studies and Research and Faculté Saint-Jean, and as set forth in Attachment 1, to take effect September 2019.

Item

Action Requested	<input checked="" type="checkbox"/> Approval <input type="checkbox"/> Recommendation
Proposed by	Deborah Burshtyn, Interim Dean and Vice Provost, Faculty of Graduate Studies and Research Pierre-Yves Mocquais, Dean, Faculté Saint-Jean
Presenter(s)	Steven Dew, Provost and Vice-President (Academic)

Details

Responsibility	Provost and Vice-President (Academic)
The Purpose of the Proposal is <i>(please be specific)</i>	To approve a new Graduate Certificate in School Leadership and Administration, to be offered in French by Faculté Saint-Jean.
Executive Summary <i>(outline the specific item – and remember your audience)</i>	<p><i>Les normes de qualités en leadeurship</i> (NQL) [Leadership Quality Standards –LQS] was recently developed by the Alberta Government and will come into effect on September 1, 2019. The LQS will apply to all principals, assistant, associate and vice principals, as well as school jurisdiction leaders and will govern leadership certification. Newly hired principals will be expected to complete required programming leading to certification by the Alberta Government. Alberta Education is working collaboratively with approved postsecondary institutions to develop the leadership program that will lead to school leadership certification. While principals will be required to be certified, all teachers with permanent certification are also eligible to complete the LQS prior to taking on a leadership position. Building on the required LQS for school-based educational leaders, this certificate proposes to offer an option for students in Francophone schools and school board, in the French immersion programs, and in the French as a second language programs across the province to also obtain a Graduate Certificate in School Leadership and Administration in French. In addition to receiving a graduate certificate, courses taken by the students may also be used to ladder into the Master of Education program at Faculté Saint-Jean.</p> <p>Two courses in this certificate will meet Alberta Education's requirements for Leadership Quality Standards (LQS) certification for principals. One course in this certificate will meet Alberta Education's requirements for Superintendent Leadership Quality Standards certification (SQLS). Both certifications will come into effect on September 1, 2019.</p> <p>The parchment will read "Certificat d'études supérieures en administration et leadership scolaire"</p>

Item No. 4d

<p>Supplementary Notes / context</p>	<p><u>Future freestanding certificates will not come to BLDC:</u></p> <p>On April 28, 2008, the Board Educational Affairs Committee (now Board Learning and Discovery Committee), with delegated authority from the Board of Governors, approved the establishment of the new credential of freestanding credit certificate. This motion indicated that future freestanding credit certificates would flow through the governance system in the ‘standard’ manner—that is, they would go to the GFC Academic Standards Committee (ASC) and Academic Planning Committee (APC) (as necessary) for approval, as set out in those committees’ terms of reference. The ASC and APC Terms of Reference in effect at that time indicated that for certificates requiring Government, APC would recommend proposals to the Board of Governors (or delegate body) for approval.</p> <p>On March 18, 2019, GFC approved changes to the ASC terms of reference, and will consider changes to the APC terms of reference on April 29, 2019, that remove the requirement for Board approval for certificates requiring government approval. This change aligns with the current approval authority for degree programs wherein the Board maintains authority to approve new credentials and delegates authority to approve new programs to GFC (or delegated body).</p>
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Engagement and Routing (Include meeting dates)

<p>Consultation and Stakeholder Participation (parties who have seen the proposal and in what capacity)</p> <p><For information on the protocol see the Governance Resources section Student Participation Protocol></p>	<p><u>Those who are actively participating:</u></p> <ul style="list-style-type: none"> • Samira ElAtia, <p><u>Those who have been consulted:</u></p> <ul style="list-style-type: none"> • Alberta Education • Consortium provincial francophone • Fédération des conseils scolaires francophone • Conseil scolaire Centre-Nord • Alberta Teacher’s Association • College of Alberta School Superintendents • Association Canadienne française de l’Alberta • Graduate students association at Faculté Saint-Jean • Faculty of Graduate Studies and Research (FGSR): Deborah Burshtyn, Interim Dean and Janice Hurlburt Graduate Governance and Policy Coordinator • Vice - Provost (Programs) Tammy Hopper and Portfolio Initiatives Manager, Office of the Provost and Vice-President (Academic) Andrea Patrick • Edith Finczak, Director, Academic Budgeting and Programming • Office of the Registrar <p><u>Those who have been informed:</u></p> <ul style="list-style-type: none"> •
<p>Approval Route (Governance) (including meeting dates)</p>	<p>Faculté Saint-Jean -- December 14, 2018 FGSR Council – February 13, 2019 GFC ASC Subcommittee on Standards (for discussion) - March 7, 2019 GFC Academic Standards Committee - March 21, 2019</p>

Item No. 4d

	GFC Academic Planning Committee – April 17, 2019 Board of Learning and Discovery Committee – April 26, 2019
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Strategic Alignment

<p>Alignment with <i>For the Public Good</i></p>	<p><i>Institutional Strategic Plan - For the Public Good</i></p> <p>BUILD <i>OBJECTIVE 1: Build a diverse, inclusive community of exceptional undergraduate and graduate students from Edmonton, Alberta, Canada, and the world.</i> <i>Strategy 1: 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.</i></p> <p>EXPERIENCE <i>OBJECTIVE 7: 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> <i>Strategy 1: Increase students' experiential learning through mutually beneficial engagement with community, industry, professional, and government organizations locally, nationally, and internationally.</i></p> <p>EXCEL <i>OBJECTIVE 14: Inspire, model, and support excellence in teaching and learning.</i> <i>Strategy 1: Foster, encourage, and support innovation and experimentation in curriculum development, teaching, and learning at the individual, unit and institutional levels.</i></p>			
<p>Alignment with Institutional Risk Indicator</p>	<p>Please note below the specific institutional risk(s) this proposal is addressing.</p> <table border="0" style="width: 100%;"> <tr> <td style="width: 50%; vertical-align: top;"> <input type="checkbox"/> Enrolment Management <input type="checkbox"/> Faculty and Staff <input type="checkbox"/> Funding and Resource Management <input type="checkbox"/> IT Services, Software and Hardware <input type="checkbox"/> Leadership and Change <input type="checkbox"/> Physical Infrastructure </td> <td style="width: 50%; vertical-align: top;"> <input checked="" type="checkbox"/> Relationship with Stakeholders <input checked="" type="checkbox"/> Reputation <input type="checkbox"/> Research Enterprise <input type="checkbox"/> Safety <input checked="" type="checkbox"/> Student Success </td> </tr> </table>		<input type="checkbox"/> Enrolment Management <input type="checkbox"/> Faculty and Staff <input type="checkbox"/> Funding and Resource Management <input type="checkbox"/> IT Services, Software and Hardware <input type="checkbox"/> Leadership and Change <input type="checkbox"/> Physical Infrastructure	<input checked="" type="checkbox"/> Relationship with Stakeholders <input checked="" type="checkbox"/> Reputation <input type="checkbox"/> Research Enterprise <input type="checkbox"/> Safety <input checked="" type="checkbox"/> Student Success
<input type="checkbox"/> Enrolment Management <input type="checkbox"/> Faculty and Staff <input type="checkbox"/> Funding and Resource Management <input type="checkbox"/> IT Services, Software and Hardware <input type="checkbox"/> Leadership and Change <input type="checkbox"/> Physical Infrastructure	<input checked="" type="checkbox"/> Relationship with Stakeholders <input checked="" type="checkbox"/> Reputation <input type="checkbox"/> Research Enterprise <input type="checkbox"/> Safety <input checked="" type="checkbox"/> Student Success			
<p>Legislative Compliance and jurisdiction</p>	<p><i>Post-Secondary Learning Act (PSLA)</i> <i>UAPPOL Admissions Policy</i> <i>GFC Academic Standards Committee (ASC) Terms of Reference</i> <i>GFC Academic Planning Committee (APC) Terms of Reference</i> <i>Board Learning and Discovery Committee Terms of Reference (3c)</i></p>			

Attachments:

1. Proposal Template (24 pages)
2. Letters of Support (9 pages)
3. Comité consultatif sur les NQL et SLQS Cadre de reference (2 pages)
4. Library Impact Statement (2 pages)
5. Calendar Copy-Program (2 pages)
6. Calendar Copy-Courses (3 pages)

Proposal Template: New Certificate and Diploma Programs and Specializations and Non-Credential Programming

Complete this template for proposals for new certificate and diploma programs and non-credential programming or new specializations within existing programs.

Indicate “not applicable” when questions are not relevant to a particular proposal.

SECTION 1: PROPOSAL OVERVIEW

1.1 Basic Information *(Complete the table below)*

Institution	University of Alberta
Program/Specialization Name	administration et leadership scolaire
Credential Awarded	Graduate Certificate
Proposed Effective Date	September 1, 2019

1.2 Type of Initiative

1.2.1. *This is a proposal for (check one):*

- new certificate*
- new diploma*
- new non-credential*
- new specialization(s) in existing program*

1.3 Nomenclature *(Answer the following questions)*

1.3.1 *What program and/or specialization name will appear on parchments and transcripts?*

Graduate Certificate in administration et leadership scolaire (School Leadership and Administration)

[Programs for Faculte St Jean will be printed in French on the parchment]

Certificat d'études supérieures en administration et leadership scolaire

1.3.2 *Provide a brief rationale for the program and/or specialization name selected.*

Les normes de qualités en leadership (NQL) [Leadership Quality Standards –LQS] was recently developed by the Alberta Government and will come into effect on September 1, 2019. The LQS will apply to all principals, assistant, associate and vice principals, as well as school jurisdiction leaders and will govern leadership certification. Newly hired principals will be expected to complete required programming leading to certification by the Alberta Government. Alberta Education is working collaboratively with approved postsecondary institutions to develop the leadership program that will lead to school leadership certification. While principals will be required to be certified, all teachers with permanent certification are

also eligible to complete the LQS prior to taking on a leadership position. Building on the required LQS for school-based educational leaders, this certificate proposes to offer an option for students in Francophone schools and school board, in the French immersion programs, and in the French as a second language programs across the province to also obtain a Graduate Certificate in administration et leadership scolaire in French. In addition to receiving a graduate certificate, courses taken by the students may also be used to ladder into the Master of Education program at Faculté Saint-Jean. All Alberta Certificates should be portable in Alberta.

SECTION 2: OVERVIEW OF PROPOSED PROGRAM OF STUDY

2.1 Program Description *(Answer the following questions)*

2.1.1 *Provide a 3-4 sentence calendar description of the program*

The Graduate Certificate in administration et leadership scolaire is a for-credit certificate program in French for professionals working in French immersion and francophone schools contexts. This certificate is offered by Faculté Saint-Jean, Division of Education, for professionals seeking specialization in school-based leadership. The program consists of four Educational and Administration courses for a total of 12 credits.

2.1.1a *Attach a proposed program of study (including course names, descriptions, credits and pre-requisites, by semester or year of study) as an appendix to this proposal.*

Appendix I – attached.

2.1.2 *List program learning outcomes.*

The learning outcomes of the proposed certificate program are:

<ol style="list-style-type: none"> 1. Foster effective relationships 2. Model commitment to professional learning 3. Embody visionary leadership 4. Lead a learning community 5. Support the application of foundational knowledge about First National, Métis and Inuit 6. Provide instructional leadership 7. Develop leadership capacity 8. Manage school operations and resources 9. Understand and respond to the larger societal context 	<ol style="list-style-type: none"> 1. Favoriser les relations efficaces 2. Donner l'exemple de l'engagement envers le perfectionnement professionnel 3. Faire preuve de leadership visionnaire 4. Diriger une communauté d'apprentissage 5. Soutenir l'application de connaissances de base au sujet des Premières Nations, des Métis et des Inuits 6. Offrir un leadership pédagogique 7. Renforcer les capacités en leadership 8. Gérer le fonctionnement et les ressources de l'école 9. Comprendre le contexte social plus large et y réagir
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2.1.3 *Does the program align with characteristics (e.g., credits, learning outcomes, etc.) associated with this credential? (Consult with the Ministry as necessary)*

Yes; No; or Not Applicable

2.1.4 *Indicate where the program will be offered (i.e., campus locations and/or off-site locations) and how it will be delivered (i.e., face-to-face, online, or blended).*

The program will be offered at the University of Alberta, Campus Saint-Jean. Delivery will be mostly online, with some blended format (face-to-face and synchronized on-line delivery). We plan to organize cohorts of students on a yearly basis that would start in July. For this, we are planning for team building activities that would take place in Campus Saint-Jean. We plan to use the residences to house the students who come from out of town during the summer.

2.1.5 *Identify any collaborations or potential collaborations with other post-secondary institutions or other organizations that this program respectively facilitates or provides for.*

While other institutions are planning to offer other certificate programs to meet the LQS requirements, we, at Faculté Saint-Jean, are planning to offer the only French certificate in the province.

For a previous certificate within our Maîtrise en Sciences de l'éducation MEDU program in school administration and leadership, we met and collaborated with various educational stakeholders who supported this work.

Alberta Education has provided development funding for each of the approved postsecondary institutions offering a certificate to meet the LQS requirements. Recently, we held a general meeting to inform, collaborate with, and seek feedback from these stakeholders in planning for the delivery of the certificate. We have formed an advisory committee (*comité consultative*) with members representing various branches of educational in the province, these are :

- Alberta Education
- Consortium provincial francophone
- Fédération des conseils scolaires francophone
- Conseil scolaire Centre-Nord
- Alberta Teacher's Association
- College of Alberta School Superintendents
- Association Canadienne française de l'Alberta
- FGSR

- Faculty of Education, UA
- Graduate students association at Faculté Saint-Jean

We held meetings with these stakeholders in the fall semester of 2018. This certificate is the initiative of the Maîtrise en Sciences de l'éducation program of Faculté Saint-Jean. Faculté St. Jean and the Faculty of Education and collaborated in all phases of the development of the proposal. The collaboration will continue as we work on the list of approved electives for the Graduate Certificate in administration et leadership scolaire. Specifically, we will leverage expertise in school leadership in Francophone and First Nations, Métis and Inuit schools by including the possibility for a student to select an elective selected from Faculté St. Jean and Faculty of Education.

2.1.6 *Indicate how the proposed FLE and load calculations align both with internal institutional practices and with similar Ministry-approved programs. (Consult with the Ministry as required)*

This proposed stand-alone certificate is based on the number of students in a cohort and not on the load value of a course.

2.1.7 *Document the CIP ([Classification of Instructional Programs, Statistics Canada](#)) code being proposed for this program and explain the rationale for its selection, if necessary (e.g., in the case of an interdisciplinary program).*

The CIP code for the Graduate Certificate in administration et leadership scolaire being proposed for this program is 13.0401 (Certificat Education Leadership C EDU L).

2.2 Program Requirements *(Answer the following questions)*

2.2.1 *List primary admission requirements for the proposed program.*

Admission requirements are as follows:

- Bachelor of Education or equivalent and teacher certification or 2 years teaching experience
- An admission GPA of 3.0
- Faculté Saint-Jean French language requirement

2.2.2 *List program completion requirements.*

The Certificate requirements include completion of four, three credit courses. Two of the proposed UA Graduate Certificate courses will meet the necessary requirements for the LQS certification by Alberta Education. One of the proposed UA Graduate Certificate courses will meet the necessary requirements for the SLQS certification.

The Certificate can be laddered into the MEd program of Faculté Saint-Jean.

Core courses for the proposed program :

- L'administration de l'éducation CEDUL 501
- Formation des habiletés de supervision et de leadership CEDUL 502
- Dimension politiques et administratives de l'éducation bilingue CEDUL 503
- Stage pratique de direction CEDUL 504 OR leadership et normes de qualité professionnelles. (CEDUL 505)

2.3 Work Integrated Learning Placements *(If applicable, answer the following questions)*

Future students who will be enrolled in this certificate are working professionals in the educational field. They are teachers, vice-principles, principals, etc. They are already integrated in the designated workplace while they are in the certificate.

Alberta Education and the Francophone Schools Board have been consulted on this the design of the curriculum and the learning outcomes. These on-going consultations ensure the alignment with the needs of the workplace and builds on the experiences of the professionals working in the academic/school contexts.

2.3.1 *Identify the number of placements required in the proposed program (including type of work setting and duration/timing of activities).*

They are already in placement while they pursue their certificate. We won't do this.

2.3.2 *Describe communications from employers (e.g., letters of support, minutes of program advisory committee meetings, etc.) that would indicate that sufficient placements will be available when needed.*

We will consider the employment letters from various educational stakeholders that we are working and consulting with.

2.3.2a *Comment on whether/how work integrated learning placements in other programs (at the institution or at other Campus Alberta institutions) may be impacted as a result of this program.*

Our program is unique, it is the only one offered in French; there is no other similar program that we can compare it to

2.3.3 *Describe the student's role, if any, in securing placements.*

Not necessary since the students are already in their respective work environment

2.4 Endorsement of and/or Support for Program (*Indicate endorsement(s) from relevant professional organizations, regulatory bodies, advisory committees, employers, and/or industry, when applicable.*)

An advisory committee has been established in fall 2018. It is comprised of cross-sectional representatives from the teaching profession in Alberta who support the proposed program. These are:


- Alberta Education
- Consortium provincial francophone
- Fédération des conseils scolaires francophone
- Conseil scolaire Centre-Nord
- Alberta Teacher's Association
- College of Alberta School Superintendents
- Association Canadienne française de l'Alberta
- Graduate students association at Faculté Saint-Jean

SECTION 3: LABOUR MARKET DEMAND AND ENROLMENT PLANNING

3.1 Demand for Program (*Answer the following questions*)

3.1.1 *Describe anticipated employment outcomes (including entrepreneurial and/or self-employment paths) for program graduates.*

As an Alberta Education mandate, the LQS will apply to all principals, assistant, associate and vice principals, as well as school jurisdiction leaders. Newly hired principals will be expected to complete required programming (two required courses offered at approved institutions) leading to LQS certification. Alberta Education is working collaboratively with approved Alberta postsecondary institutions to develop the leadership development program that will lead to leadership certification. Alberta Education has provided financial support to develop programming for the Graduate Certificate in administration et leadership scolaire.

While principals will be required to be certified, all teachers with permanent certification are also eligible to complete the LQS certification prior to taking on a leadership position (e.g., school principal). Building on the required LQS certification for school-based educational leaders, this certificate proposes to offer an option for students to also obtain a Graduate Certificate in administration et leadership scolaire in French. A central aspect of the Graduate Certificate is that it can be used to ladder into the MEd program  offered through Faculté Saint-Jean at the University of Alberta.

3.1.2 *Describe the labour market demand for the proposed program in the region that your institution serves, detailing how labour market demand was projected. (Append supporting documentation, as appropriate.)*

The demand for LQS certification arises from the Alberta Government's new requirement for certification for principals and superintendents. Please refer to the Alberta Government's website for details on the certification requirement: <https://education.alberta.ca/professional-practice-standards/leadership-quality-standard/everyone/overview-of-the-leadership-quality-standard/>. While a master's and/or doctoral degree is, at present, not a requirement for school leaders, further education at the graduate levels is an increasing expectation.

3.1.3 *In cases where labour market demand is not the primary driver for creating the program, comment on social and/or community benefits.*

While the certification requirement has been mandated by the Alberta Government for new school leaders, the rationale underpinning this decision is to ensure school leaders have the knowledge, skills and attributes required to be effective leaders when assuming such positions, as well as be in fully aware of the bilingual and language dimension of working in French education in Alberta. The proposed certificate will build on the required certification and as such it is a response to market demand created by the Alberta Government. In addition to Alberta, we foresee big demand on the certificate in other provinces and school boards jurisdiction in Western Canada.

3.1.4 *Identify which stakeholder groups were consulted regarding demand/need for this program:*

- Students/learners*
- Faculty*
- Program advisory committee*
- Regulator and/or accreditation bodies*
- Employers and professional associations*
- Community organizations*
- Other post-secondary institutions*
- Other (please identify)*

3.1.4a *Discuss the results of these consultations and attach supporting documentation (e.g., minutes of meetings, letters of support, etc.), when available.*

Those who have been consulted:

- LQS certification and School Leader certificate advisory committee
- Faculty of Graduate Studies and Research (FGSR)

- Director Academic Budgeting and Programing
- Office of the Dean, Campus Saint-Jean
- Alberta Education
- Alberta Teachers' Association
- College of Alberta Superintendents
- Association of Independent Schools & Colleges in Alberta Portfolio Initiatives Manager
- Office of the Provost and Vice-President (Academic)
- Registrar's Advisory Committee on Fees (RACF).

3.1.5 *Will this program target students from outside the institution's traditional catchment zone? (If yes, where will these students be targeted – i.e., which particular regions/jurisdictions within Alberta and Canada, foreign countries, and/or geographic regions?)*

Targeted students for the proposed certificate will be Alberta teachers entering or aspiring to enter school leadership roles. As the vast majority of students in the education program at Campus Saint-Jean are from Alberta, this can be considered within the traditional catchment zone.

Both programs, the Baccalauréat en éducation and the Maîtrise en sciences de l'éducation programs, at Campus Saint-Jean have traditionally served Western Canada. This certificate will be the only one offered in French in this area. As such, we foresee an increase number of students from Saskatchewan and British Columbia wanting to pursue this certificate. We have been contacted in the past by the Vancouver School Board for a similar certificate initiative for their personnel at French immersion programs

3.1.6 *Comment on the overall sustainability of learner demand for this program over the longer term.*

As leadership certification is now required for all K-12 school leaders, it can be assumed that the demand for this program will be ongoing. The ongoing need for principals and system level leaders to be certified in Alberta there will be sustainability of the proposed program.

The need for French immersion programs is increasing, and the demands for this certificate among this group will be increasing as well.

3.2 Projected Domestic Student Enrolment *(Complete the table below as applicable)*

Students enrolling in the proposed certificate will apply to the Graduate Certificate students.

Students, interested in taking only the required courses for Alberta Education requirement, can apply as a special graduate student.

(NB: Proposals for non-credentials do not complete anticipated no. of graduates line or divide enrolments by year of study.)

Proposed Enrolment	Year 1	Year 2	Year 3	Year 4	Annual Ongoing
Total head count	0	0	0	0	0
• Year 1	25	35	45	40	0
• Year 2	25	35	45	40	0
• Year 3	25	35	45	40	0
Anticipated No. of Graduates	25	35	45	40	0

3.3 Projected International Student Enrolment *(Complete the table below as applicable)*

N/A

3.4 Enrolment Planning Assumptions *(Answer the following questions)*

3.4.1 *Will total enrolment (as measured in FLEs) at your institution increase as a result of implementation of this proposed program?*

Yes.

3.4.1a *Identify enrolment impacts in similar programs or non-credential areas within your institution, when applicable.*

Other programs are not aligned with the NQL, Campus Saint-Jean will be offering the only LQS for the Francophone and French speaking (French immersion) participants.

3.4.2 *How many cohorts or intakes of new students will occur per year, or is a continuous intake model used?*

Four intakes will be possible to take the course: Fall, Winter, Spring, Summer
For the certificate cohort program, intake will start in July

3.4.3 *When applicable, provide rationale for how enrolment projections were established with regard to domestic/international student ratio.*

Rationale for the projected enrolment comes from job projections, arising from the number of teachers wishing to transition into available leadership roles per year.

The growing number of students coming into our programs and the growth within the French programs. Almost fifty years after the Official Language Acts, and the implementation of French Immersion programs across Canada, we are seeing large increases of students in K-12 choosing and continuation their education in bilingual programs. Currently at Campus Saint-Jean, we are not graduating enough students to fill the demand for Alberta and Western Canada,

3.4.4 *Explain assumptions regarding attrition and/or numbers of graduates.*

Many/most students will have multiple life responsibilities (e.g., work and family) and will be working full time while participating in the Graduate Certificate. For a variety of reasons, we anticipate, similar to our other graduate programs, an attrition rate of 2-5% per year.

3.4.5 *What is the minimum number of FLEs needed for this program to be viable (i.e., the “break-even” point)?*

We will require a minimum of 5 students enrolled in each course to break-even.

SECTION 4: QUALITY CONSIDERATIONS

4.1 Quality Assurance Considerations *(If applicable, answer the following questions)*

(NB: non-credential programs complete 4.1.1 only.)

4.1.1 *What strategies did your institution use to foster program quality for the proposed program (e.g., curriculum mapping, use of expert panels, industry panels, or advisory panels, etc.)?*

Two of the proposed UA Graduate Certificate courses will meet the necessary requirements for the LQS certification by Alberta Education. Based on our own expertise in the field of education (inclusive of course and program development), as well as the input from our advisory panel (who are sector experts) we are confident we are proposing a quality program with detailed learning outcomes and measurable indicators throughout the course of the certificate.

leadership et administration scolaire has been our flagship program at Campus Saint-Jean since 2007. The leadership program at FSJ has been developed with extensive feedback from various stakeholders and with direct input from education leaders who know the French education landscape extremely well (Dr. Gour. Dr. Arnal, and Dr. Slevinsky- two professors of Faculté Saint-Jean will join the team)

The Alberta Government has provided support for the proposed program and the learning outcomes are aligned with the mandated LQS.

4.1.2 *Provide copy of independent academic expert review, when applicable.*

N/A

4.1.3 *Provide copy of institution's response to independent academic expert review, when applicable.*

N/A

4.1.4 *Describe the institutional quality assurance process(es) that will be used to ensure the continuing high quality of the proposed program.*

- Faculty members from Campus Saint-Jean will oversee the content development, delivery format and evaluation.
- The Director of Graduate Studies will provide oversight for all FGSR policies and regulations.
- IT and EdTech team at FSJ will support the proposed program as required.
- The *comité consultatif* will provide critical advice to the programming of the proposed certificate throughout the development.

SECTION 5: FINANCIAL VIABILITY AND SUSTAINABILITY

5.1 Annual Budget and Funding Sources *(Complete the table below)*

- *Identify annual and one-time expenditures and annual revenues for the program in the budget tables below.*
- *If program implementation will take place over more than one year, provide estimates for each year until full implementation.*

Ongoing Revenues and Operational Costs

	Year 1	Year 2	Year 3	Year 4	Annual Average
	NA	2%	2%	2%	Average
Revenues					
Domestic Tuition/Fees	\$ 224,000	\$ 224,000	\$ 224,000	\$ 224,000	\$ 224,000
International Tuition/Fees	\$ -	\$ -	\$ -	\$ -	\$ -
External Funding	\$ -	\$ -	\$ -	\$ -	\$ -
Internal Re-allocation	\$ -	\$ -	\$ -	\$ -	\$ -
By-Product Sales/Services	\$ -	\$ -	\$ -	\$ -	\$ -
Other Internal Sources	\$ -	\$ -	\$ -	\$ -	\$ -
Total Revenue	\$ 224,000	\$ 224,000	\$ 224,000	\$ 224,000	\$ 224,000
Operational Costs					
Administrators Salaries/Benefits (1)	\$ 20,000	\$ 20,400	\$ 20,808	\$ 21,224	\$ 20,608
Academic Teaching Costs (2)	\$ 80,000	\$ 81,600	\$ 83,232	\$ 84,897	\$ 82,432
Support Staff Salaries/Benefits (3)	\$ 30,000	\$ 30,600	\$ 31,212	\$ 31,186	\$ 30,912
Materials, Contracted Service/online development(4)	\$ 25,000	\$ 15,000	\$ 12,000	\$ 12,000	\$ 16,000
Other direct Costs, recruitment, supplies, equipment (5)	\$ 4,000	\$ 4,080	\$ 4,162	\$ 4,245	\$ 4,122
Indirect Costs		\$ -	\$ -	\$ -	\$ -
Faculty Overhead	\$ 6,900	\$ 7,037	\$ 7,178	\$ 7,322	\$ 7,109
Institutional Costs (36,2%)	\$ 57,558	\$ 58,709	\$ 59,883	\$ 61,081	\$ 59,308
Total Operational Costs	\$223,458	\$217,427	\$218,475	\$222,605	\$ 220,491

Administrative, academic, recruitment and facilities and supplies

The cost for instructors and teaching assistants for all courses in the certificate will be funded through tuition revenues.

2% COL(COI/year)

TUITION @ 1,400/student/course

- 4 courses per year for 40 students (4 cohorts of 10) + 1 course per year for 5 SLQS
- 40 students per year, 5 students for the SLQS.

Notes--

- 1) 0.5 FTE director (2 courses release)= **\$20,000**
- 2) 8 sections/year = 8 sessional instructors @ 10,000 = **\$80,000**
- 3) 1 Part-time administrative staff : **\$30,000**

- 4) Annual short videos production online development, interactive online activities, maintenance of moodle, @ \$4,000 ×4/year= **\$ 16,000**.
 Guest seminar leaders at \$500/leader×4/year = **\$2,000**. Travel for seminar leaders 500/leader ×4/year = **\$2,000**. Offsite section travel \$2,500/section×2 sections/year= **\$5,000**. **Total \$25,000 for year 1.**

- 5) Laptops for sessional instructors- refresh every 5 years hence spread costs over 5 years. \$8,000 ÷5= **\$1,600/year** + recruitment \$4,000 ÷4 years= **\$1,000/year** + hosting (advisory board, face to face sessions and certificate completion) **\$1,400/year**. **Total 4,000/year**

One-Time Expenditures

One-time expenditures	Amount	Revenue Source	Details
Facilities	\$0		
Equipment and IT	\$8000	Tuition	FSJ
Curriculum Development	\$		
Library	\$0		
Other (specify)	\$0		
Advisory group & stakeholder discussions			
Evaluation and reporting on pilot			
Pilot courses			
Recruitment			
Documentation for certificate & laddering			
Indirect costs of development and pilot			

The proposed program will cover all costs for material and contracted services.

Such services will include instructional design, video creation and other teaching resources.

Other direct costs will include a set of instructor laptops, instructors' copies of textbooks, recruitment booths at provincial teacher conferences, parking and honoraria for guest speakers.

There are no foreseeable indirect costs for this program that will not be covered by the tuition fees (e.g. space, HR, learning system resources will be covered in the tuition fees)

Indirect costs will be partially computed by formula (facilities, technology, library) and partially by direct costs. Administrative staff costs will be full-costing. 1/3 graduate secretary and 1/3 instructional designer, 1/3 academic director. This is a shared cost with two other cost recovery programs.

5.2 Budgetary Assumptions *(Answer the following questions)*

5.2.1 *If revenue projections include internal reallocations, comment on institutional impacts for other programs/operations.*

As a cost recovery program, tuition will cover all costs (administrative, academic, recruitment, facilities, and supplies.) There will be no impact for other programs/operations.

5.2.2 *If projected revenues include by-product sales/services as a result of delivery of the proposed program (e.g., salon services as part of a Hairstyling program), indicate the basis upon which prices were established.*

Projected revenues do not have by-product sales/services as a result of delivery of the proposed program.

5.2.3 *Provide staffing plan information to support faculty salaries/benefits projection.*

Tuition fees will cover the costs of additional support services and teaching staff. The Faculty will recover funds for their contribution and reallocate within the proposed program.

5.2.3a *In cases where service teaching costs are projected, indicate number of courses being purchased.*

Courses will be developed by academic staff in Faculté Saint-Jean. Costs for course development (e.g., course release time) has been provided by Alberta Education. The proposed certificate will not be used for purchasing courses.

5.2.4 *Identify what types of material costs and contracted services are projected.*

The proposed program will cover all costs for material and contracted services. Faculté Saint-Jean does not have the human resources for this program, hence the need for cost recovery.

5.2.5 *Specify what direct costs include.*

There are no additional direct costs arising from the proposed program.

5.2.6 *Explain how indirect costs are projected and calculated (e.g., formula-driven, full-costing, etc.)*

There are no foreseeable indirect costs for this program that will not be covered by the tuition fees (e.g., space, HR, learning system resources will be covered in the tuition fees).

5.2.7 *Describe risk mitigation plans should revenue forecasts not be achieved or should costs exceed amounts budgeted.*

If the proposed certificate does not achieve the required student enrolment to recover costs, it will no longer be offered.

5.3 Tuition and Student Cost Considerations *(Answer the following questions)*

5.3.1 *Compare the proposed tuition rate (both domestic and international) with that of similar programs in the Campus Alberta system and in other relevant jurisdictions. (Consult with the Ministry as needed.)*

The tuition fees are set to be consistent with other (similar) cost recovery programs at the University of Alberta.

Below is an example of the University of Calgary’s fees for their EdD program, which is cost recovery.

Year in program	Canadian/Permanent Resident	International
Year 1	\$11,221.00 Cdn	\$14,540.55 Cdn
Year 2	\$11,221.00 Cdn	\$14,540.55 Cdn
Year 3	* \$11,221.00 Cdn	* \$14,540.55 Cdn
Year 4	\$11,221.00 Cdn	\$14,540.55 Cdn

5.3.2 *Does the proposed program align with the Tuition Fee Regulation?* Yes; or No

5.3.2a *Please elaborate on above answer, if necessary.*

5.3.3 *List additional projected financial costs (e.g., fees, books, equipment, travel for WIL, etc.) for students.*

No additional financial costs are projected than what is normally required for students enrolled in a graduate program (e.g., laptop, books, housing in intersession, etc.).

SECTION 6: INSTITUTIONAL IMPACT

6.1 Institutional Capacity *(Answer the following questions)*

6.1.1 *Describe how the proposed program builds on institutional strengths and/or builds institutional capacity.*

School administration and leadership has been the strongest and most sought after program at Campus Saint-Jean. It has been a flagship program for our faculty that offer a unique graduate program in French in Western Canada. The Master of education (M Ed) program, both course based and thesis basis, at FSJ has been in place since 1994. On average 40-60 students are enrolled in the program. The large majority of these students are practitioners in the field: teachers, administrators at schools, schools boards, or Alberta Education. For these students, the main objective for continuing their education is to further their careers in their respective teaching environment either as vice-principals, principals, lead teachers, administrators in schools board, etc. The delivery of the program is one of the unique strengths of the program: blended-delivery, online courses, and distance courses. The proposed certificate will contribute to, and build upon, these historical institutional strengths of the area in a number of ways.

First, it will add to the Faculty's professional education that leads to professional certification (teacher and now leadership certification).

Second, the proposed certificate will build on working relationships between members of the FSJ and professional teachers and leaders in the Alberta K-12 education sector through an advisory role.

Finally, the proposed certificate will increase graduate student enrolment in various ways (e.g., required certification courses, laddering).

6.1.1a *Explain how the proposed program fits with existing programs at the institution.*

The proposed certificate is directly linked to the Educational Administration and Leadership graduate programs currently offered in the MEd program at Faculté Saint-Jean.

6.1.1b *Describe how the proposed program aligns with the institution's mandate and Comprehensive Institution Plan, and other planning documents.*

The proposed certificate aligns with the Comprehensive Institutional Plan with respect to attracting and retaining talented students, provide access to an innovative learning opportunity, and advancing connections with the k-12 community, as well as Alberta Education. The proposed program will also support the mandate that University of Alberta graduates (our k-12 school and system leaders) will be prepared, through an innovative learning environment, to think critically, to act entrepreneurially, to create cultural and technical innovation, to be successful in the global marketplace, and to assume positions of leadership in public and private sectors. The proposed program will provide the students with these skills.

In addition to the above, the proposed program is in alignment with the Comprehensive Institutional Plan in the following areas:

- Facilitate, build and support interdisciplinary, cross-faculty and cross-unit engagement and collaboration.
- 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.
- Increase graduate 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.
- Increased access to, and use of, professional development opportunities for graduate students to support their job market competitiveness, including through internship programs, events and workshops and on-line resources to improve their ability to compete in the global employment market.
- Inspire, model and support excellence in teaching and learning.
- Expand professional development opportunities for graduate students and post-doctoral fellows.
- Foster, encourage and support innovation and experimentation in curriculum development, teaching and learning at the individual, unit and institutional levels.
- 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.
- Enhance, increase, and sustain reciprocal, mutually beneficial community relations, community engagement, and community engaged research and scholarship that will extend the reach, effectiveness.
- Work closely with key provincial partners and government agencies.

- Engage with government, community, industry, business, and the post-secondary sector to address shared local, provincial, national, and global challenges.
- Through delivery of the Information Technology investment plan, facilitate easy access to, and use of, university services and systems
- Development of mutually beneficial projects that strengthen reciprocal relationships with external stakeholders through community engagement.

The proposed certificate is in alignment with the “For the Public Good” strategic plan in the following areas:

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.

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.

- 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.

The graduate program at Faculté Saint-Jean is uniquely situated to advance the Comprehensive Institutional Plan and *for the Public Good* among educators in the second official language of Canada. Educators in Western Canada (British Columbia, Alberta and Saskatchewan) look to the FSJ which for 5 decades now plays a pivotal role in the Alberta Teacher Education Program. Most of educators come to FSJ to further their graduate studies. These are the educators’ leader in the French Immersion programs and Francophone school boards.

We hope to also reach to Francophone Educational Programs outside of Canada whose linguistic realities are almost identical to ours in Canada: dual languages.

With this certificate, we aim to build collaboration with *Agence universitaire francophone* and the *Institut national de recherche scientifique*, so that we can:

1. have more international francophone educators enrolling in our programs
2. further our understanding of bilingual education,
3. foster research mobility and dissemination,
4. build research partnership and graduate development programs,
5. foster a north-south research and social relationship mostly with African francophone countries

6.1.2 *Comment on the facilities and equipment available at your institution to support the program.*

No new equipment or facilities will be required for the proposed program.

6.1.3 *In cases where facilities and equipment are shared with other programs, identify impacts and/or mitigating strategies for other programs.*

Classrooms will be used in off times (evenings and spring and summer session. Online courses will not impact facilities. Technology services will be contracted specifically for the program. The faculty has a professional program office that will be used for administrative staff.

La centrale will be used by students in evening (after 4pm) and week-end classes.

The *Résidence Saint-Jean* may be used during the summer and spring for students in the program

6.2 Internal Review and Approval *(Indicate which internal governance body recommended approval and specify date of approval.)*

Proposed timelines:

1. Faculty Council (December 14, 2018) Approved
2. FGSR Council (February 2019)
3. GFC Academic Standards Committee Sub-committee on Standards
4. GFC Academic Standards Committee
5. GFC Academic Planning Committee
6. Minister of Advanced Education

Proposals for freestanding certificates are submitted to Advanced Education via the Provider and Program Registry System (PaPRS). This process is coordinated by the Office of the Provost and Vice-President (Academic).

SECTION 7: SYSTEM IMPACT

7.1 Program Duplication *(Answer the following questions)*

7.1.1 *Does the proposed program duplicate existing programming in Alberta?*

Given the unique content of the courses in bilingual and francophone education, there is no duplication of this program. There will be similar programs offered in Alberta in English, including at the University of Alberta, by the Faculty of Education.

It is anticipated that the proposed program will primarily serve new school leaders in all of Alberta. Alberta Education will only accredit universities in Alberta to offer LQS certification programs.

7.1.1a *If yes, list these programs (including those offered by private career colleges).*

While these programs are not yet being offered at other institutions, it is anticipated that the University of Calgary, Concordia University, and the Faculty of Education at the University of Alberta will be offering a similar program in English

7.1.2 *If proposed program does constitute program duplication, explain why such duplication is appropriate and beneficial in this circumstance.*

Alberta Education has provided funding to all approved postsecondary institutions throughout the province. This noted, not all certification programming will lead to a Graduate certificate so this becomes an alternative choice for educational leaders.

7.2 Learner Pathways *(Answer the following questions)*

7.2.1 *Which programs or learning activities in the Alberta adult learning system ladder/transfer into this proposed program or non-credential?*

Laddering/transfer into this program does not apply.

7.2.2 *Into which programs in the Alberta adult learning system does this proposed program or non-credential ladder, transfer, or otherwise provide the necessary conditions for admission?*

The proposed program will ladder into the FSJ Master of Education degree program.

SECTION 8: OTHER CONSIDERATIONS

Are there are other considerations that you believe that the Ministry should take into account when reviewing this proposal?

RECOMMENDATION (FOR DEPARTMENT USE)

Recommendation(s):

Rationale for Recommendation:

Reviewer(s):

Date Completed:

APPENDIX I: Proposed program

Proposed program of study

The purpose of this proposed program of study is to:

- a) Develop the required courses for the Leadership Quality Standards (LQS) set by the Alberta Government (effective September 1, 2019).
- b) Building on the required LQS certification required by the Alberta Government the proposed certificate aims to build on the required Government certification by offering a Graduate Certificate (four required courses).

Faculté Saint-Jean at the University of Alberta will develop courses required for certification of teachers and central office leader pathways to LQS and Superintendent Leadership Quality Standard (SLQS) certification which will be accessible, meaningful and relevant, reflect the standards of practice, and will include theoretical and experiential elements. This Graduate Certificate proposal has been developed through a collaborative effort between the Education Division, the *leadership et Administration scolaire* research specialization in the *Maitrise en sciences de l'éducation* program in the Dean's office of the Faculté Saint-Jean in Education, University of Alberta.

Required Courses:

The proposed Graduate Certificate will have the following four (4) required courses.

The two first courses will meet the requirements for the LQS certification. These two courses are partial fulfilment of the requirements for school leader certification through Alberta's Leadership Quality Standard.

1. *L'administration de l'éducation* (CEDUL 501)
(3 credits; no pre-requisite)

Course Description:

Étude approfondie de concepts d'administration. Les rôles du gestionnaire de l'éducation. Gestion des ressources humaines et financières en éducation. Examen des problèmes en milieu d'éducation et analyse de solutions administratives pertinentes.

2. *Formation des habiletés de supervision et de leadership* (CEDUL 502)

Course Description:

Principes, organisation et techniques de supervision. Le développement des habiletés de leadership en gestion, particulièrement pour l'éducation en français.

3. *Dimensions politiques et administratives de l'éducation Bilingue (CEDUL 503)*
(3 credits; no prerequisite)

Course Description:

Étude des structures de l'éducation française et bilingue dans les divers contextes canadiens et du rapport existant entre ces structures et le contexte sociopolitique.

4. *One of the following courses :*

4.1 Stage pratique de direction (CEDUL 504)

Course Description:

Visé à développer des habiletés en observation, en entrevues, en animation de groupes et en réflexion lors de visites dans des écoles et en travaillant avec la direction des écoles.

Cours Pre-requis: CEDUL 501, CEDUL, CEDUL 503

4.2 leadership et normes de qualité professionnelles. (CEduL505)

Étude approfondie de concepts d'administration dans les directions des conseils scolaires. Application des normes de qualité professionnelles dans la gestion des directions scolaires. Critique et analyses des problèmes en milieu d'éducation et analyse de solutions administratives pertinentes.

(This course is intended for superintendent, it is in partial fulfilment of the requirements for superintendent school leader certification through Alberta's Superintendent Leadership Quality Standard.)



The Alberta Teachers' Association

11010 142 Street NW, Edmonton, Alberta T5N 2R1

T 780-447-9400 or 1-800-232-7208

F 780-455-6481

www.teachers.ab.ca

Greg A Jeffery
President

Jenny L Regal
Vice-President

Jason C Schilling
Vice-President

H Mark Ramsankar
Past President

Dennis E Theobald
Executive Secretary
Chief Executive Officer

Brian J Andrais
Associate Executive Secretary

Joni A Turville
Associate Executive Secretary

2019 01 21

Dr Samira ElAtia
Director of Graduate Studies
Associate Professor of Education
Campus Saint-Jean
8406 Rue Marie-Anne Gaboury
91 St NW
Edmonton AB T6C 4G9

Dear Dr ElAtia

Please accept this short correspondence indicating the profession's support for your revised Master of Education program that will provide eligibility to graduates for Leadership Certification. The focus of the program addresses an identified need of future school leaders in Alberta.

The proposed program would be one of several offered by Alberta universities that will allow members of the profession to engage in studies that will lead to a School Leadership Certificate or a Superintendent Leadership Certificate.

It is evident that the proposed coursework will be of benefit to French-speaking teachers who enroll in the program. Additionally, offering programs such as this allows teachers to build their level of expertise in educational leadership while at the same time fulfilling their professional commitment to lifelong learning. It will also provide a pathway for French speaking teachers to School Leadership Certification that will be required for aspiring principals in Alberta.

As with all the new programs across the province such as this the Association appreciates the invitation to participate in the advisory committee at the development stage of the program and to participate actively by providing relative content in the delivery of each program. We look forward to hearing from you in this regard.

... continued

ElAtia, 2019 01 21, p 2

The Association's support for such programs can be found within our Teacher Education and Certification policy 2.A.42 which states:

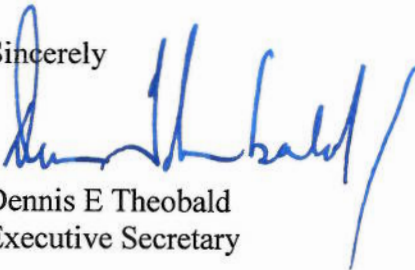
"2.A.42 Alberta universities should provide expanded opportunities for further education in the following ways:

1. Off-site courses
2. Flexible scheduling
3. Modified residency requirements
4. Portability of course credits
5. Extended time limits
6. Alternate delivery

[1991/94/97/2000/07/17]

Once again, I am pleased to hear Campus Saint-Jean is offering students an opportunity to focus their studies in this area and wish you success in offering this program.

Sincerely

A handwritten signature in blue ink, appearing to read "Dennis E Theobald", with a long, sweeping flourish extending downwards and to the right.

Dennis E Theobald
Executive Secretary

DET/pm

November 30th, 2018

To whom it may concern,

Please accept this letter of support for the implementation of a new French-language *Graduate Certificate in Leadership and School Administration* offered by Campus Saint-Jean (Faculté Saint-Jean, University of Alberta).

Conseil scolaire Centre-Nord, looks after 3480 Francophone students attending 19 schools in several communities including Edmonton, Fort McMurray, Jasper, Legal, Red Deer, St. Albert, Beaumont, Camrose, Lloydminster, Sherwood Park, and Wainwright. If we combine students from all four Francophone regional authorities, approximately 8000 students attend our French-language schools. For almost 25 years, Francophone school boards have worked diligently, most often with little or no real resources, to provide students with quality education. Campus Saint-Jean has a very long and successful history of supporting Francophone education in training teachers to respond to ever-growing enrolments. We can add that the majority of our graduating students go on to post-secondary institutions, many to Alberta's only French-language university, Campus Saint-Jean. However, there is still considerable support required to help Francophone boards develop the next generation of school leaders.

The implementation of the Graduate Certificate in Leadership and School Administration is an important step to ensure the development of our school and central office leadership teams. A strong and well supported French-language graduate program will play a major role in helping Francophone education in Alberta. The Leadership and Superintendent Quality Standards recently announced by Alberta Education add to the need for structured, but yet flexible training opportunities, for our staff. Therefore, Francophone school boards strongly support the implementation of the *Certificat supérieur en leadership, gestion et administration scolaire (Graduate Certificate in Leadership and School Administration)*.

Please, do not hesitate to contact me if you wish to find out more regarding our support for this project.

Yours truly,



Robert Lessard
Directeur général

Objet : Appui à la proposition d'un certificat supérieur en leadership, gestion et administration scolaire.

À qui de droit,

Le *Consortium provincial pour le perfectionnement professionnel* (CPFPP) appuie l'initiative du Campus St Jean, de l'*Université de l'Alberta*, d'offrir un certificat supérieur en leadership, gestion et administration scolaire en français.

L'initiative d'Alberta Education concernant les nouvelles normes de qualité pour le leadership scolaire (NQLS) et pour la direction générale (NQDG) touche tous les éducateurs de la province. Il est très important pour notre communauté en contexte minoritaire (dans nos écoles francophones ou d'immersion) d'avoir accès à cette certification en français.

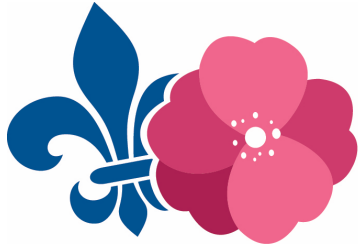
Le CPFPP est convaincue que cette offre aura du succès. Nous nous engageons à en faire la promotion dans nos réseaux et informer tous nos partenaires en éducation.

Le Campus St Jean est l'expert et le leader en éducation au niveau post-secondaire en français en Alberta. L'addition de ce programme appuiera la préparation de nos enseignants pour des carrières en leadership dans nos écoles francophones et d'immersion. Nous avons besoin d'outiller nos éducateurs et de former des leaders qui comprennent bien le contexte minoritaire dans lequel nous travaillons. C'est pour cette raison que nous réitérons notre appui envers cette initiative.

Sincère salutations.



Madeleine Lemire,
Directrice exécutive



Fédération des
CONSEILS SCOLAIRES
francophones de l'Alberta

December 7, 2018

To whom it may concern,

Please accept this letter of support for the implementation of a new French-language *Graduate Certificate in Leadership and School Administration* offered by Campus Saint-Jean (Faculté Saint-Jean, University of Alberta).

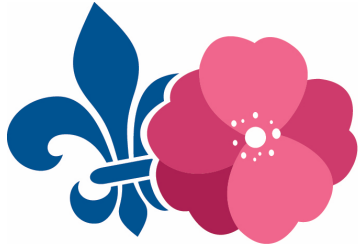
La Fédération des conseils scolaires francophones de l'Alberta (FCSFA) represents four Francophone school boards with approximately 8 000 Francophone students attending 43 schools in several communities including Edmonton, Calgary, Grande Prairie and Bonnyville. For almost 25 years, Francophone school boards have worked diligently to provide students with quality education. Campus Saint-Jean has a very long and successful history of supporting Francophone education in training teachers to respond to ever-growing enrolments. We can add that a significant number of our graduating students go on to post-secondary institutions, many to Alberta's only French-language university, Campus Saint-Jean. There is still considerable support needed to help Francophone boards develop the next generation of school leaders.

The implementation of the Graduate Certificate in Leadership and School Administration is an important step to ensure the development of our school and central office leadership teams. A strong and well-supported French-language graduate program will play a major role in helping Francophone education in Alberta. The Leadership and Superintendent Quality Standards recently announced by Alberta Education add to the need for structured, but yet flexible training opportunities, for our staff. Therefore, Francophone school boards strongly support the implementation of the *Certificat supérieur en leadership, gestion et administration scolaire (Graduate Certificate in Leadership and School Administration)*.

Please, do not hesitate to contact me if you wish to find out more regarding our support for this project.

Yours truly,

Donald Michaud
Executive Director, FCSFA



Fédération des
CONSEILS SCOLAIRES
francophones de l'Alberta

December 7, 2018

To whom it may concern,

Please accept this letter of support for the implementation of a new French-language *Graduate Certificate in Leadership and School Administration* offered by Campus Saint-Jean (Faculté Saint-Jean, University of Alberta).

La Fédération des conseils scolaires francophones de l'Alberta (FCSFA) represents four Francophone school boards with approximately 8 000 Francophone students attending 43 schools in several communities including Edmonton, Calgary, Grande Prairie and Bonnyville. For almost 25 years, Francophone school boards have worked diligently to provide students with quality education. Campus Saint-Jean has a very long and successful history of supporting Francophone education in training teachers to respond to ever-growing enrolments. We can add that a significant number of our graduating students go on to post-secondary institutions, many to Alberta's only French-language university, Campus Saint-Jean. There is still considerable support needed to help Francophone boards develop the next generation of school leaders.

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Please, do not hesitate to contact me if you wish to find out more regarding our support for this project.

Yours truly,

Donald Michaud
Executive Director, FCSFA



ACFA

La Cité francophone
8627 rue Marie-Anne-Gaboury (91^e Rue)
Pavillon II, Bureau 303
Edmonton, Alberta T6C 3N1

www.acfa.ab.ca

Edmonton, December 13, 2018

University of Alberta
A/s Samira ElAtia

I am writing in support of the proposed certificate in educational leadership at Campus Saint-Jean which was developed under the supervision of Dr. Samira ElAtia.


Having taught a number of the courses making up the certificate and having attended consultations including numerous stakeholders, I can confirm that it was developed with the full participation of a number of professors and sessionals, with the full support of the administration, the Department of Education, and with input from graduate students and school boards offering both French first language and immersion programming.

At present in Alberta and indeed across Canada there is a paucity of trained teachers to meet the needs of rapidly-growing French language programming. This shortage also extends to administrative and leadership roles. While some of the larger school boards have been able to develop in-house preparation programs for aspiring principals, such is not the case for smaller jurisdictions, including francophone school boards. In addition these programs are not credited and they have not been vetted by the Universities offering Masters' and PhD education degrees.

What is being proposed here will meet a pressing need that will endure well into the future if current trends continue and there is every reason to believe that they will. Francophone education is a complex undertaking as was clearly articulated by Judge Dixon in the Supreme Court ruling on the Bugnet case. In that ruling the Judge recognized that past laws restricting and even outlawing French in publically funded schools had damaged the community and he called for measures aimed at reparation of the negative repercussions of past wrongs. Principals educated in this conceptual mindset will also be valuable assets for schools with first peoples' participation as the restoration of dignity remains a strong objective.

It might be useful to remember as well that the so-called stand-alone certificate model was first developed at Campus Saint-Jean in the Orthophonie Bilingue certificate developed by Professor Martin Beaudoin. That certificate attracted students from across Canada and contributed strongly to the visibility of Campus Saint-Jean.

En terminant j'appuie fortement ce certificat qui aurait selon moi être déjà en place depuis un long moment.



Marc Arnal,
Président

Edmonton, le 2 novembre 2018

Dr. Samira ElAtia
Directrice du programme de Maîtrise en Éducation
Campus Saint Jean de l'Université d'Alberta

Objet : Lettre de soutien

J'ai le plaisir de vous exprimer tout l'intérêt des Étudiants de Maîtrise en Éducation au Campus Saint-Jean pour le projet « Le Certificat supérieur en Leadership et Administration scolaire ». Une telle initiative nous paraît très utile dans la mesure où le Leadership et l'Administration scolaire occupent une place importante dans la Recherche en Éducation. Sa mise en place au Campus Saint-Jean permettrait au futurs diplômés de profiter des dernières avancées dans la recherche en Leadership indispensables pour mettre l'éducation au service de la société.

En outre, la création d'un tel certificat permettrait aux institutions scolaires, ayant des défis Complexes à résoudre, de trouver des Leaders aptes à répondre à leurs besoins avec une formation initiale/continue de qualité. Le Certificat supérieur en Leadership et Administration scolaire outillera davantage les étudiants en éducation au Campus Saint-Jean d'aujourd'hui pour en faire de fiers leaders en éducation de demain.

C'est donc sans aucune retenue que j'apporte, au nom des étudiants de Maîtrise en Éducation Campus Saint Jean, mon soutien au projet « Le Certificat supérieur en Leadership et Administration scolaire ».

Sincères salutations,

Niane Abdoul Demba
Étudiant de Maîtrise en Éducation
Campus Saint Jean de l'Université d'Alberta

November 23, 2018

Dr. Samira ElAtia
Director of Graduate Studies
Faculty of Education, Department of Educational Psychology
8406, rue Marie-Anne Gaboury (91st St)
Edmonton, AB T6C 4G9

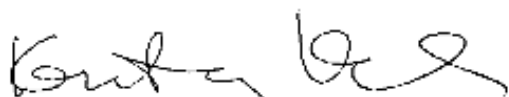
Dear Dr. ElAtia,

Please find attached an original of the fully executed Grant Agreement No. 2018-0260 between the University of Alberta and Alberta Education, for your records.

Alberta Education is pleased to provide this support for the development of programming that will prepare Alberta teachers to meet the new Leadership Quality Standard and Superintendent Leadership Quality Standard, such that those individuals who have successfully completed the programming will be eligible to apply for a leadership and/or superintendent leadership certificate from Alberta Education's Registrar. These new leadership certifications come into effect in September, 2019, and Alberta Education is pleased that, through the work supported through this grant, the necessary coursework will be offered in French through an Alberta university.

If you have any questions regarding this contract, please do not hesitate to contact me.

Sincerely,



Karsten Koch
Education Manager, Leadership Excellence
(780) 643-0990

Comité consultatif sur les NQL et SLQS

Cadre de référence

Objectif

Formé d'experts dans le domaine, le comité guidera le travail et fournira des conseils informés au président du comité consultatif et aux autres membres du personnel de la Faculté Saint-Jean engagés pour fournir le certificat et au conseil de la division en ce qui concerne:

- Développement et le renouvellement du curriculum et du programme d'études, garantissant ainsi la pertinence, la qualité et la compétitivité;
- Critères d'identification et de sélection des instructeurs;
- Critères de sélection des participants pendant et après le projet pilote;
- Résultats d'apprentissage, objectifs et critères d'évaluation du projet pilote;
- Éléments d'un marketing efficace et rehaussement du profil académique;
- Liens avec les associations professionnelles et sectorielles;
- Cadre de référence du comité consultatif permanent (ongoing) pour les programmes de certification LQS et SLQS après le projet pilote

Structure et composition

Le comité sera composé de 6 à 12 membres représentant la Faculté Saint-Jean, Alberta Education et les organismes provinciaux clés de stakeholders en éducation.

Les nominations sont normalement effectuées pour un mandat de trois ans renouvelable ; chaque année, environ un tiers des nominations sont effectuées ou renouvelées.

Composition du comité

- Le comité comprendra un organe consultatif composé d'intervenants du secteur de l'éducation, notamment l'ATA, l'AISCA, le CASS et Alberta Education, ainsi que la représentation des Premières nations, des Métis et des Inuits, selon le cas, afin de recueillir des ressources pour que les cours de leadership restent à jour et répondent aux besoins des écoles et des responsables du système scolaire.

Membres du comité

Samira ElAtia (dir. grad studies)- présidente du comité

Marianne Jacquet (FSJ, U of A)

Eva lemaire (FSJ, U of A)
Cindy Gaudet (FSJ, U of A)
Lise Niyuhire (FSJ, U of A)
Martine Cavanaugh (FSJ, U of A)
Martine Pelletin (FSJ, U of A)
Niane Abdoul Demba (MEDU, FSJ)

Marc Arnal (ACFA & FSJ)
Donald Michaud (FCSF)
Robert Lessard (Conseil scolaire nord)
Richard Slevinsky (Conseil scolaire sud)
Karsten Koch (AB Ed) alt. Pierre A.Hebert (AB ED)
Jeff Johnson (ATA)
Robert Lessard (CASS)
Eric Caron (Consortium provincial francophone)

Réunions du comité

Le comité se réunit normalement trois fois par an, généralement pendant trois heures. Des réunions supplémentaires peuvent être nécessaires pour aborder des tâches ou des événements particuliers.

Aucune rémunération n'est versée aux membres du comité.

Le stationnement et les frais de déplacement nécessaires peuvent être remboursés.



As per [GFC Policy 37.3.7](#), Faculties seeking changes to existing programs must consider and seek the agreement to any impact of the proposed program changes on the library system and on course enrolments in other academic units. In addition, any new program proposal going forward for approval will require a service impact statement. Where the affected Faculties and/or Library are in agreement this statement will note that fact and details of the arrangement.

Please contact your [subject librarian](#) to solicit feedback on your program proposal and request a Library Impact Statement.

Library Contact:

Name: Denis Lacroix	Date: November 05, 2018
Library Unit: Bibliothèque Saint-Jean	Email: denis.lacroix@ualberta.ca

Program Proposal Contact:

Name: Samira El Atia	Dept./School: Campus Saint-Jean Associate Professor and Director of Graduate Studies
Faculty: Campus Saint-Jean	E-mail: selatia@ualberta.ca

Proposed Program Changes:

<i>Insert specific program proposal name here</i> Graduate Certificate in administration and school leadership
--

Library Service or Resource	Description of Library Impact
Instruction (e.g., classes with a librarian, tours, online resource guides, online tutorials, etc.)	<p>Instruction related to searching for research information through library resources and on the open Internet may be useful for students in the program.</p> <p>The Libraries offer a range of drop in research workshops throughout the academic year to assist students with their research needs. In addition, online instructional guides and tutorials are accessible via the Libraries' web site to support the research process. Course/assignment specific instruction may also be useful. Please contact the appropriate subject librarian to discuss.</p>
Reference assistance (e.g., ongoing one-on-one help)	<p>The subject librarian will be able to accommodate requests for assistance via email, phone, or Google Meet.</p> <p>General reference assistance is available at all University of Alberta Libraries service desks. In addition, subject librarians are available for one-to-one consultations for specialized assistance. Ask us services are also available via chat, email, and phone.</p>

<p>Collections – reserves, print, electronic [note any impacts on simultaneous users, licensing considerations etc.]</p>	<p>The Libraries' current subscriptions to print and electronic journals and books should adequately support this program. Any items that are not available and/or accessible through the Libraries can be requested through Interlibrary Loan.</p> <p>Journals and electronic resources with particular relevance to this program include:</p> <ul style="list-style-type: none"> ● ERIC via Ovid and/or Ebscohost ● Education database ● Education research complete ● Educational administration abstracts ● ERUDIT ● CAIRN ● Journals: Journal of School Leadership, <i>Éducation et francophonie</i>, <i>Nouveaux cahiers de la recherche en éducation</i>, <i>Revue des sciences de l'éducation</i>, <i>Administration et Éducation</i>, etc. <p>Submit course reading list and reserve requests online. The Libraries will respond within 5 business days with persistent links to online resources on your reading list. Print items will be referred to our Reserve staff and processed within 10 days.</p>
<p>Collaboration with other UAL library units, if interdisciplinary program (consult with the other UAL units affected and include their comments with yours)</p>	<p>This new certificate at the Campus Saint-Jean is mirrored at the Faculty of Education. A similar Library impact statement was prepared on September 7th 2018 for the Herbert T. Coultts Library. This certificate is specialized in school administration and leadership with no new courses being proposed. Besides the Bibliothèque Saint-Jean, the Coultts and Winspear Libraries would both be relevant to students taking the new certificate; however, existing collections, finding tools, and staff would be adequate to meet student and instructor information needs.</p>
<p>Physical facilities (e.g., sufficient room for group work; in-library work, etc.)</p>	<p>Sufficient physical facilities are in place to support student research needs enrolled in this new certificate. There are bookable group study spaces, as well as collaborative and individual study spaces in all library locations across.</p>
<p>Other (specify)</p>	

- Proposal has an impact on the Libraries and can be supported.
 Proposal can be supported with additional resources; see attached details.
 Proposal has no impact on the Libraries.

Unit Head Signature:  Date: November 21, 2018

Associate University Librarian Signature:  Date: Nov. 22/18

Faculté Saint-Jean

CALENDAR CHANGE REQUEST

CURRENT	PROPOSED
<p>Course Listing Faculté Saint-Jean</p>	<p>Course Listing Faculté Saint-Jean</p> <p>CEDUL Certificat Éducation Leadership</p>
<p>NEW</p>	<p>CEDUL 501 L'administration de l'éducation</p> <p>★ 3 (fi 6) (l'un ou l'autre semestre, 3-0-0) Étude approfondie de concepts d'administration. Les rôles du gestionnaire de l'éducation. Gestion des ressources humaines et financières en éducation. Examen des problèmes en milieu d'éducation et analyse de solutions administratives pertinentes.</p>
<p>New</p>	<p>CEDUL 502 Formation des habiletés de supervision et de leadership</p> <p>★ 3 (fi 6) (l'un ou l'autre semestre, 3-0-0) Principes, organisation et techniques de supervision. Le développement des habiletés de leadership en gestion, particulièrement pour l'éducation en français.</p>
<p>New</p>	<p>CEDUL 503 Dimensions politiques et administratives de l'éducation bilingue</p> <p>★ 3 (fi 6) (l'un ou l'autre semestre, 3-0-0) Étude des structures de l'éducation française et bilingue dans les diverses provinces canadiennes et du rapport existant entre ces structures et le contexte sociopolitique.</p>
<p>New</p>	<p>CEDUL 504 : Stage pratique de direction</p> <p>★ 3 (fi 6) (l'un ou l'autre semestre, 3-0-0).</p>

	<p>Visé à développer des habiletés en observation, en entrevues, en animation de groupes et en réflexion lors de visites dans des écoles et en travaillant avec la direction des écoles.</p> <p>Préalable(s): CEDUL 501, CEDUL 502, CEDUL 503</p>
NEW	<p>CEDUL 505 leadership et normes de qualité professionnelles.</p> <p>★ 3 (<i>fi 6</i>) (l'un ou l'autre semestre, 3-0-0). Étude approfondie de concepts d'administration dans les directions des conseils scolaires. Application des normes de qualité professionnelles dans la gestion des directions scolaires. Critique et analyses des problèmes en milieu d'éducation et analyse de solutions administratives pertinentes.</p>

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2020-2021 University of Alberta Calendar Graduate Program Changes: new free-standing Graduate Certificate in School Leadership and Administration in the Faculté Saint-Jean.

Current	Proposed
<p>Graduate Programs</p> <p>Faculté Saint-Jean [Graduate]</p> <p>[...]</p> <p>Graduate Program Requirements</p> <p>[NEW]</p>	<p><u>Graduate Programs</u></p> <p><u>Faculté Saint-Jean [Graduate]</u></p> <p>[...]</p> <p><u>Graduate Program Requirements</u></p> <p><u>The Graduate Certificate in administration et leadership scolaire (Faculté Saint-Jean) [Graduate]</u></p> <p><u>The Graduate Certificate in administration et leadership scolaire is offered by the Faculté Saint-Jean, Division of Education, for teaching professionals seeking specialization in school leadership working in French immersion and francophone schools contexts. The program consists of four Educational and Administration courses. Delivery will be mostly online, with some blended format (face-to-face and synchronized on-line delivery).</u></p> <p><u>Entrance Requirements</u></p> <p><u>The minimum admission requirements are a Bachelor of Education degree with an admission GPA of at least 3.0 on the 4-point scale from the University of Alberta, or an equivalent qualification and standing from a recognized institution. The admission GPA will be calculated on the last ★60 of graded coursework completed, or on the equivalent of the last two years of full-time graded coursework.</u></p> <p><u>Teacher certification or two years of teaching experience are also required.</u></p> <p><u>Applicants must have adequate French language proficiency, as demonstrated by:</u></p>

(a) Completion of a degree or its university-level equivalent from an institution recognized by the University of Alberta, and where the language of instruction is French. Proof that instruction for the diploma was in French is required.

OR

b) a satisfactory score on an approved French proficiency test (the list of language proficiency tests approved by the Faculté Saint-Jean is available at the Faculté Saint-Jean Graduate Studies Office)

Applicants who do not meet the minimum AGPA requirement but have considerable relevant professional experience may also be admissible. Individuals who feel that this situation applies to them are encouraged to contact admissions to discuss their status.

Program Requirements

Students are required to complete four ★3 courses for a total of ★12.

Required Courses (★12):

- CEDUL 501
- CEDUL 502
- CEDUL 503
- **One of**
 - CEDUL 504 or
 - CEDUL 505

Length of Program

All components of the certificate must be completed within 4 years of enrollment from first registration for the certificate.

Laddering

Students who complete the certificate in good standing may be able to use the courses from the certificate to receive advanced standing in the course-based Master of Education program in the Faculté Saint-Jean, Division of Education. Completion of the certificate does not guarantee admission to a master degree program. The certificate may be used for both the basis of admission and laddered into the course-based master degree. Details on [laddering](#) can be found in the [Calendar under Regulations of the Faculty of Graduate Studies and Research](#).

Certificat d'études supérieures en administration et leadership scolaire (Faculté Saint-Jean)[Graduate]

Le Certificat d'études supérieures en administration et leadership est offert par la Division de l'éducation de la Faculté Saint-Jean. Il s'adresse aux professionnels de l'enseignement qui désirent se spécialiser en leadership scolaire dans les établissements francophones et d'immersion française. Le programme comprend quatre cours en éducation et en administration. La formation sera assurée principalement en ligne, sous forme de modèle hybride (face à face et cours en ligne synchrones).

Les conditions d'admission

Les exigences minimales d'admission sont un baccalauréat en éducation avec une moyenne cumulative d'au moins 3,0 sur une échelle de 4 points décernée par l'Université de l'Alberta, ou une qualification délivrée par un établissement reconnu. La moyenne générale d'admission sera calculée sur les *60 derniers crédits de cours ou sur l'équivalent des deux dernières années de cours à temps plein.

Un brevet d'enseignement ou deux années d'expérience en enseignement sont également exigés.

Les candidats doivent posséder une compétence langagière adéquate en français, démontrée par

(a) l'obtention d'un diplôme ou son équivalent universitaire d'un établissement reconnu par l'Université de l'Alberta, et où la langue de l'enseignement est le français. La preuve que l'instruction pour le diplôme était en français est requise,

OU

(b) un résultat satisfaisant à un test de compétence en français approuvé (la liste des tests de compétence linguistique approuvés par la Faculté Saint-Jean est disponible au bureau des études supérieures de la Faculté Saint-Jean)

Les candidats qui ne satisfont pas à l'exigence minimale de moyenne pondérée cumulative mais qui possèdent quand même une solide expérience professionnelle pertinente dans le domaine peuvent également être admissibles. Les personnes qui sont dans cette situation sont encouragées à communiquer avec le bureau des admissions pour discuter de leur admissibilité.

Les exigences du programme

Les étudiants sont tenus de suivre quatre cours de trois crédits, pour un total de *12.

Cours obligatoires (*12)

- CEDUL 501
- CEDUL 502
- CEDUL 503
- **Au choix**
 - CEDUL 504 ou
 - CEDUL 505

Durée limite du programme

Toutes les exigences du certificat doivent être remplies en 4 ans à compter de la première inscription au certificat.

Voie passerelle à la maîtrise

Les étudiants qui ont complété le certificat avec succès peuvent utiliser certains cours du certificat pour obtenir une équivalence avancée dans le programme de maîtrise en éducation de la Faculté Saint-Jean, Division de l'éducation. La réussite du certificat ne constitue pas une garantie d'admission à un programme de maîtrise. Le certificat peut être utilisé à la fois comme critère d'admission et comme voie passerelle pour entrer dans le cursus du programme de maîtrise dans la voie sans thèse. Les informations sur la voie passerelle à la maîtrise sont disponibles sur le site web [Regulations of the Faculty of Graduate Studies and Research](#).

Liste de cours

La liste des cours pour le Certificat d'études

supérieures en administration et leadership se trouve dans la Course Listings, sous la désignation CEDUL.

Graduate Courses

Graduate courses can be found in [Course Listings](#) under the subject heading CEDUL.

Justification: New free-standing Graduate Certificate in School Administration.

Approved: Faculté Saint-Jean Council

**Governance Executive Summary
Action Item**

Agenda Title Revisions to the Animal Ethics Policy and Procedures

Motion

THAT the Board Learning and Discovery Committee, acting with delegated authority of the Board of Governors and on the recommendation of General Faculties Council, approve the proposed revisions to the Animal Ethics Policy and Procedures, as set forth in the attachments, to take effect upon final approval.

Item

Action Requested	<input checked="" type="checkbox"/> Approval <input type="checkbox"/> Recommendation
Proposed by	Vice-President (Research)
Presenter(s)	Matthias Ruth, Vice-President (Research); Susan Babcock, Director, Research Ethics Office

Details

Responsibility	Vice-President (Research)
The Purpose of the Proposal is	To recommend revisions to the Animal Ethics Policy and Procedures
Executive Summary (<i>outline the specific item – and remember your audience</i>)	<p>In general, the proposed revisions do not change the scope or intent of the Animal Ethics Policy Suite.</p> <p>The proposed revisions are intended primarily to address the Canadian Council on Animal Care (CCAC) 2017 assessment of the University Animal Care and Use Program. Specifically, the CCAC recommended that the University develop and implement a harmonized process for defining and handling incidents of non-compliance with animal use protocols and revise the <i>Animal Care and Use Committee Structure, Application and Review Procedure</i> to conform to CCAC requirements. The University is obligated to comply with CCAC recommendations as it must maintain CCAC certification as a condition of receiving CIHR and NSERC funds.</p> <p>The other revisions were identified by members of the University Animal Care and Use Program in the course of their work with the Policy and Procedures since its approval in 2015.</p> <p>The proposed revisions are strategically and financial significant because they improve our institutional compliance with CCAC requirements and ability to maintain CCAC certification without which research funding would be jeopardized.</p>
Supplementary Notes / context	

Engagement and Routing (Include meeting dates)

<p>Consultation and Stakeholder Participation (parties who have seen the proposal and in what capacity)</p> <p><For information on the protocol see the Governance Resources section Student Participation Protocol></p>	<p><u>Those who are actively participating:</u></p> <ul style="list-style-type: none"> The University Animal Policy & Welfare Committee has reviewed and endorsed these changes. Its membership includes the Chairs of the four individual Animal Care and Use Committees, the Chair of the Cross Cancer Institute Animal Care Committee, the Associate Deans (Research) of ALES, FOMD and Science, the Directors of the animal services units, a representative from Environment, Health & Safety, two faculty members (who use animals in research), the Associate Vice-President (Research), and the following staff from the Research Ethics Office: the
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Item No. 7

	Animal Care and Use Consultant, the University Veterinarian and the Director. <u><i>Those who have been consulted:</i></u> <ul style="list-style-type: none"> The Office of the Vice-President Research and the Research Ethics Office have consulted with the Canadian Council on Animal Care to determine if the proposed Animal Care and Use Non-Compliance Procedure meets its requirements.
	<u><i>Those who have been informed:</i></u> <ul style="list-style-type: none">
Approval Route (Governance) (including meeting dates)	GFC Academic Planning Committee - November 7, 2018 GFC Executive Committee (for information) – December 10, 2018 General Faculties Council - January 28, 2019 (for recommendation) Board Learning & Discovery Committee – April 26, 2019 (for approval) Board of Governors – May 10, 2019 (for information)

Strategic Alignment

Alignment with <i>For the Public Good</i>	EXCEL as individuals, and together, sustain a culture that fosters and champions distinction and distinctiveness in teaching, learning, research, and service.	
Alignment with Institutional Risk Indicator	Please note below the specific institutional risk(s) this proposal is addressing.	
	<input type="checkbox"/> Enrolment Management <input type="checkbox"/> Faculty and Staff <input checked="" type="checkbox"/> Funding and Resource Management <input type="checkbox"/> IT Services, Software and Hardware <input type="checkbox"/> Leadership and Change <input type="checkbox"/> Physical Infrastructure	<input type="checkbox"/> Relationship with Stakeholders <input checked="" type="checkbox"/> Reputation <input checked="" type="checkbox"/> Research Enterprise <input type="checkbox"/> Safety <input type="checkbox"/> Student Success
Legislative Compliance and jurisdiction	<i>Post-Secondary Learning Act</i> GFC Academic Planning Committee Terms of Reference Board Learning and Discovery Committee Terms of Reference – 3b Canadian Council on Animal Care and Use policies and guidelines	

Attachments

- Proposed Revisions to the Animal Ethics Policy (2 pages)
- Proposed Revisions to the Animal Care and Use Committee Structure, Application and Review Procedure (7 pages)
- Proposed Revisions to the Standard Operating Procedures Definition, Creation and Approval Procedure (1 page)
- Proposed Revisions to the Animal Care and Use Post-Approval Monitoring Procedure (1 page)
- Proposed Revisions to the Animal Care and Use Appeal Procedure (1 page)
- Proposed Revisions to the Animal Care and Use Roles and Responsibilities Procedure (2 pages)
- Proposed NEW Animal Care and Use Non-compliance Procedure (6 pages)
- Proposed Revisions to the Special Requests for Alternate Animal Housing Procedure (3 pages)
- Proposed Revisions to the Institutional Animal User Training Program Procedure (5 pages)

Prepared by: Susan Babcock, Director – Research Ethics Office, sbabcock@ualberta.ca

Original Approval Date: June 2, 2005
Most Recent Approval Date: October 16, 2015

Animal Ethics Policy

Office of Accountability:	Vice-President (Research)
Office of Administrative Responsibility:	Research Ethics Office (REO)
Approver:	Board of Governors
Scope:	Compliance with this university policy extends to all academic, support and excluded staff, postdoctoral fellows, and academic colleagues as outlined and defined in the Recruitment Policy (Appendix A and Appendix B: Definitions and Categories); undergraduate and graduate students; emeriti; visitors to campus, including visiting scholars; third party contractors; and volunteers Academic Staff and Colleagues and Support Staff as outlined and defined in Recruitment Policy (Appendix A and Appendix B) in addition to third party contractors, visiting speakers, professors emeriti, undergraduate and graduate students, post-doctoral fellows, volunteers and to all persons who use animals for research, teaching or testing.

Overview

The University of Alberta holds that scholarly integrity and trust are vital to the responsible conduct of research. It is committed to ensuring the ethical and humane use and responsible care of animals in research, teaching and testing. The University of Alberta regards the use of animals in research, teaching and testing as a privilege, not a right. Animals are used only for valid scientific studies with a reasonable expectation of obtaining knowledge for the potential benefit of people and/or animals. The University of Alberta is committed to ensuring the highest possible standards in the care, well-being, quality of life and use of its animals in accordance with applicable laws, the **Canadian Council on Animal Care (CCAC)** guidelines and policy statements, and the *Tri-Agency Agreement on the Administration of Agency Grants and Awards by Research Institutions*.

Purpose

- To promote the highest standards of practice in research, teaching and testing involving animals.
- To establish the nature of these standards and address instances when these standards have not been met.

POLICY

1. GUIDING ETHICAL PRINCIPLES OF ANIMAL CARE AND USE
 - a. Animals used in research, teaching and testing by University of Alberta staff and trainees must be cared for and maintained in accordance with applicable laws, CCAC guidelines and policy statements, and the requirements of the *Tri-Council Agreement on the Administration of Agency Grants and Awards by Research Institutions*.
 - b. The Russell-Burch Three Rs Replacement, Reduction and Refinement principles will be upheld in the design and review of animal use protocols.
2. ANIMAL CARE AND USE COMMITTEES

- a. The Vice-President (Research) shall establish an institutional Animal Policy and Welfare Committee [University Animal Policy and Welfare Committee (UAPWC)] to concern itself with the ethical and responsible use and care of animals in research, teaching and testing.
- b. UAPWC has the authority, on behalf of the Vice-President (Research) to:
 - i. stop any procedure if it considers that unnecessary and/or unanticipated pain or distress is being experienced by the animal;
 - ii. stop immediately any use of animals that is not described within an approved protocol or that deviates from the approved protocol;
 - iii. direct that any animal be humanely euthanised if it is experiencing unnecessary and/or unanticipated pain or distress that cannot be alleviated; and
 - iv. order the closure of facilities that do not meet CCAC standards and/or endanger the well-being of animals contained therein.
- c. UAPWC shall establish such specialized Animal Care and Use Committees (ACUCs) as necessary to review and manage animal use applications. All **Principal Investigators (PIs)** using animals must apply to and be accountable to at least one of the specialized ACUCs.
- d. UAPWC will serve as the appeal body concerning a negative decision of an ACUC. A PI who disputes an ACUC decision, following reconsideration by ACUC, may appeal that decision to UAPWC. Refer to the *Animal Care and Use Committee Appeal Procedure*.
 - i. Because ethics review and the observance of research ethics at the University is premised on collegial relations between ACUCs and researchers, a request for appeal must be a last resort. An appeal may only be made on the grounds that there has been a miscarriage of justice, such as an error in process, procedural irregularity, lack of due process, and exceptions to the precepts of natural justice such as bias.
 - ii. If an appeal is upheld, UAPWC will immediately review the animal use protocol in question. Decisions by UAPWC on appeals are final.

3. ETHICS REVIEW OF ANIMAL USE

- a. The University's animal care and use program is premised on collegial relations among its members.
- b. University of Alberta staff and trainees shall not use an animal for research, teaching, or testing without written approval from one of the University's ACUCs.
- c. Each ACUC shall have a defined area of expertise and shall be capable of considering a range of research methods and animal models within that area. ACUCs are mandated to approve, reject, propose modifications to or terminate the approval of any proposed or ongoing animal use that is subject to review under this Policy. PIs should apply to ACUC best equipped to review the proposed animal use for which approval is requested.
- d. ACUC has the authority to:
 - i. stop any procedure if it considers that unnecessary and/or unanticipated pain or distress is being experienced by the animal;
 - ii. stop immediately any use of animals that is not described in an approved protocol or that deviates from an approval protocol; and
 - iii. direct that any animal be humanely euthanized if it is experiencing unnecessary and/or unanticipated pain or distress that cannot be alleviated.
- e. If a PI is collaborating with researchers at other institutions to conduct animal research, the *Policy Statement for Animal-Based Projects Involving Two or More Institutions* will apply.

4. ACCOUNTABILITY

- a. The University of Alberta aspires to the highest standards of animal care and use and is regularly assessed by CCAC in accordance with its standards of GAP – Good Animal Practice.

5. PROCUREMENT, USE, HOUSING AND MAINTENANCE OF ANIMALS

- a. Typically, animals must be -obtained through one of the University of Alberta **animal services units**, except animals used in the field.
- b. All approved animal use must receive veterinarian oversight from one of the animal services units.
- c. Whenever possible, animal procedures should be conducted in facilities managed by one of the animal services units.
- d. Animal procedures may be conducted in other locations, provided they are suitable and both the location and procedures, including the transfer of the animals, has been approved by ACUC and the University's Office of Environmental Health and Safety (EHS).
- e. Animals will normally be housed in facilities managed and maintained by one of the animal services units.
- f. In certain circumstances, a PI may apply for special permission to house animals in an alternate site. Refer to the *Special Requests for Alternate Animal Housing Procedure*.

6. ACCESS TO ANIMALS AND FACILITIES

- a. All animals maintained at the University of Alberta and the facilities in which they are used or housed are subject to post-approval monitoring and periodic inspection by the University Veterinarian, UAPWC, ACUCs, Directors and staff of the animal services units, EHS and REO staff. These people must have access at all times to all areas where animals are housed or used.

7. ANIMAL USER TRAINING

To promote the highest standards of animal care and use, all University of Alberta staff and trainees engaged in the care and use of animals must, at a minimum, be trained in the principles and ethics of animal care and use. University of Alberta staff and trainees:

- a. associated with an animal use protocol must successfully complete Part 1 Institutional Animal User Training and provide REO with proof of completion.
- b. engaged in animal care and use must also complete relevant Part 2 Institutional Animal User Training appropriate to the species of animal and the procedure(s) to be performed. No person shall handle animals or perform any procedures with animals until they have completed appropriate Part 2 training.

8. EUTHANASIA

- a. Any veterinarian licensed by the Province of Alberta called upon to attend an animal used in an University ACUC approved protocol is delegated authority to stop any unapproved procedure or any procedure causing unnecessary and/or unanticipated pain or distress to the animal, and to humanely euthanize any animal believed to be in unnecessary and/or unanticipated pain or distress that cannot be alleviated. The veterinarian will consult with the PI and ACUC Chair, if possible, and will salvage research data, if possible. The veterinarian will send a written report to the PI, the ACUC Chair and the veterinarian who reviewed the protocol following any such event.
- b. University veterinarian staff may delegate authority to humanely euthanize animals to senior animal services unit staff.
- c. PIs are responsible for [ensuring approved protocol endpoints are met. Every effort must be made to identify and humanely euthanize morbid animals prior to reaching a moribund state \(a state of dying\)- working with the ACUC to establish appropriate humane endpoints and to ensure that approved humane endpoints are followed. Every effort must be made to expose animals to the minimum distress or pain necessary for the scientific objectives of the research, for as short a period as possible, and to monitor them carefully to identify and euthanize animals reaching their humane endpoints.](#)

9. NON-COMPLIANCE

- a. [Any Animal](#) animal use that has not been ~~reviewed and~~ approved by an ACUC [and/or animal use that is not conducted in the manner in which it was described in an animal use protocol and approved by an ACUC](#) will constitute non-compliance.

- b. ~~Animal~~ Any animal use that contravenes this Policy ~~care that does not meet CCAC guidelines or is not described in an approved animal use protocol~~ constitutes non-compliance.
- c. Non-compliance ~~may represent research misconduct. See the Research and Scholarship Integrity Policy~~ will be addressed according to the Animal Care and Use Non-compliance Procedure.

DEFINITIONS

Any definitions listed in the following table apply to this document only with no implied or intended institution-wide use. ▲Top	
Animal	Any living non-human vertebrate and any living invertebrate of the class of cephalopoda, including free-living and reproducing larval forms, used for research, teaching, or testing purposes by University of Alberta staff or trainees.
Canadian Council on Animal Care (CCAC)	The national organization responsible for setting and maintaining standards for the ethical use and care of animals used in science (research, teaching and testing) in Canada.
Principal Investigator (PI)	A member of the academic staff who is responsible for the design, conduct, supervision and oversight of the care and use of animals in research, teaching or testing as described in an approved animal use protocol.
Animal Services Units	Animal facilities established and operated by the University of Alberta as ongoing administrative units to provide veterinary and animal care staff, infrastructure, training, oversight and other resources to support the use of animals in research, teaching and testing by University staff and trainees. They currently are: Agricultural Food and Nutritional Sciences Animal Services (AFNSAS), Health Sciences Laboratory Animal Services (HSLAS) and Science Animal Support Services (SASS).

RELATED LINKS

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

[Agreement on the Administration of Agency Grants and Awards by Research Institutions](#) (Government of Canada)

[Animal-Based Projects Involving Two or More Institutions](#) (CCAC)

[Animal Protection Act](#) (Government of Alberta)

[Animal Protection Regulation](#) (Government of Alberta)

[Canadian Council on Animal Care Guidelines](#) (CCAC)

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

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

[Research and Scholarship Integrity Policy](#) (UAPPOL)

[University Animal Policy and Welfare Committee](#) (University of Alberta)

PUBLISHED PROCEDURES OF THIS POLICY

[Animal Care and Use Committee Appeal Procedure](#)

[Animal Care and Use Committee Structure, Application and Review Procedure](#)

[Animal Care and Use Post-Approval Monitoring Procedure](#)

[Animal Care and Use Roles and Responsibilities Procedure](#)

[Animal Care and Use Standard Operating Procedures: Definition, Creation, Approval and Management Procedure](#)

[Institutional Animal User Training Program Procedure](#)

[Special Requests for Alternate Animal Housing Procedure](#)

[Animal Care and Use Non-compliance Procedure](#)

Approval Date: November 1, 2015

Parent Policy: [Animal Ethics Policy](#)

Animal Care and Use Committee Structure, Application and Review Procedure

Office of Administrative Responsibility:	Research Ethics Office (REO)
Approver:	Vice-President (Research)
Scope:	Compliance with this university procedure extends to all academic, support and excluded staff, postdoctoral fellows, and academic colleagues as outlined and defined in the Recruitment Policy (Appendix A and Appendix B: Definitions and Categories) ; undergraduate and graduate students; emeriti; visitors to campus, including visiting scholars; third party contractors; and volunteers. Academic Staff and Colleagues and Support Staff as outlined and defined in Recruitment Policy (Appendix A and Appendix B) in addition to third party contractors, visiting speakers, professors emeriti, undergraduate and graduate students, post-doctoral fellows, volunteers and to all persons who use animals for research, teaching or testing.

Overview

Ethics approval must be obtained before any use of animals for research, teaching or testing is undertaken [and maintained for the duration of the animal use](#).

Purpose

- Define the structure of Animal Care and Use Committees (ACUCs) at the University of Alberta.
- Define the decision making and review requirements for ethics review of animal use.
- Describe the basic procedures for application for and ethics review of animal use.

PROCEDURE

1. STRUCTURE OF ANIMAL CARE AND USE COMMITTEES AND GENERAL CONSIDERATIONS
 - a. The University of Alberta, through the Vice-President (Research) and the University Animal Policy and Welfare Committee (UAPWC), shall establish such number of ACUCs as determined appropriate. ACUCs will be organized around models of animal use and their composition will conform with the requirements outlined in the **Canadian Council for Animal Care (CCAC) Policy Statement: Terms of Reference for Animal Care Committees**.
 - b. It is the shared responsibility of the **Principal Investigator (PI)**, the **animal services unit** providing housing and/or veterinarian oversight and ACUC to ensure the ethical conduct of animal care and use and to promote animal welfare consistent with CCAC requirements. Whether a PI [personally](#) works with animals or not, s/he is responsible for the animal care and use performed by his/her staff and trainees.

- c. ACUCs shall apply the principles adopted in the *Animal Ethics Policy* in review of an animal use application. ACUCs should be aware of, and be willing to consider and suggest, a range of approaches to promote the ethical conduct of animal use. No animal use application will require approval from more than one ACUC. ACUC may request additional veterinarian and facility input if necessary. Each ACUC will accept, and rely on, the reviews of the other ACUCs.
- d. ACUCs shall function impartially, provide a fair and constructive review with respect to an application and provide reasoned and appropriately documented opinions and decisions. ACUCs should make their decisions on the ethical acceptability of animal use in an efficient and timely manner, and shall communicate all decisions in writing, in print or by electronic means. The deliberations of ACUCs are confidential.
- e. Ethics review will be based on fully detailed animal use applications submitted for review through the [Research and Ethics Management Online \(REMO\)online research ethics](#) system. The animal use applications will include the information defined in the *CCAC Guidelines on: Animal Utilization Use Protocol Review* and the *CCAC Policy Statement: Terms of Reference for Animal Care Committees*.
- f. REO will provide administrative support for ACUCs.

2. DECISION MAKING AND REVIEW REQUIREMENTS

- a. ACUC must ensure that each animal use application has been found to have scientific or pedagogical merit through independent peer review before approving the application.
 - i. In the case of research funded through a competitive peer review process, confirmation of funding or a score in the fundable range will typically be accepted as evidence of peer review. Such merit review will be acceptable for five years from the date of review or such other time as ACUC may decide.
 - ii. For teaching applications, evidence of *a priori* consultation with, or involvement of, the relevant animal services unit in the development and approval of the course content and methods must accompany evidence of pedagogical review by the academic unit. ACUC may request additional review.
 - iii. ~~For animal use applications that [have not received peer review](#) are not linked to peer reviewed funding, a REO administrator will select reviewers from a bank maintained in the office and will consult with the PI's Department Chair and/or Associate/Vice Dean (Research) to select reviewers as required. On these animal use protocols, the PI will be asked to suggest the names of a minimum of two subject matter experts to [review animal use protocols](#) add to the bank of reviewers. REO will maintain a bank of reviewers and will consult with the PI's Department Chair and/or Associate/Vice Dean (Research) to select reviewers as required.~~
 - iv-iii. REO will coordinate an impartial peer review process, following which the anonymized reviewers' comments will be provided to the PI. If the reviews do not warrant any changes to the animal use application, ACUC will complete its review. If changes are recommended, the application will be returned to the PI for appropriate action and the PI's Department Chair and/or Associate/Vice Dean will be asked to verify that the PI has addressed any concerns before ACUC completes its review.
- b. All new animal use protocols and fourth year renewals of ongoing protocols will be reviewed by full ACUC.
- c. Annual review of ongoing protocols may be done by a subcommittee of ACUC consisting of the ACUC Chair or designate (a scientific member of ACUC), a veterinarian and one community member for up to three annual reviews. At any time a subcommittee member can stipulate that the protocol go to full ACUC review.
- d. While the disposition of any individual review rests solely and exclusively with either ACUC, or in the event of an appeal, with UAPWC, ACUCs are accountable to UAPWC for ensuring their processes are consistent with University of Alberta policy and procedures. In the event of a disagreement about the interpretation or application of policy, procedures or guidelines, the [Chair of UAPWC Vice-President \(Research\)](#) shall have final authority.
- e. To change approved animal use, except where necessary to eliminate any unanticipated harmful effects to the animals, the PI must submit, and receive ACUC approval for, an amendment to his/her animal use application.
- f. The ACUC Chair may, in exceptional circumstances, [convene a subcommittee consisting of at least him/herself, a veterinarian and a community representative to](#) review and approve interim animal use on the understanding that a fully detailed animal use application will be reviewed by full ACUC at its next meeting.

3. NEW AND ONGOING ANIMAL USE PROTOCOL REVIEW

- a. All applications for animal ethics review at the University of Alberta will be managed through the [Research and Ethics Management Online \(REMO\)online research ethics](#) system. A PI should choose the ACUC best qualified to review his/her application. The receiving ACUC may redirect an application that would be more suitably reviewed by another ACUC and shall notify the PI as necessary. An animal use application will be checked for operational implications by the animal services unit(s) that will provide veterinarian oversight for the proposed animal use. The animal use application will then be received by an ACUC [CoordinatorSpecialist](#) and, following an administrative review and in consultation with the ACUC Chair, be assigned for review by ACUC.
- b. Applications for animal ethics review will be distributed to all members of ACUC. They may be reviewed by the committee as a whole and/or by specific assigned reviewers, as well as the ACUC Chair or Associate Chair, the veterinarian and the community member(s), [and are discussed by all members present at the ACUC meeting](#).
- c. If the ACUC Chair, the veterinarian or one of the primary reviewers determines additional expertise is necessary for appropriate review, *ad hoc* reviewers will be asked to review the animal use application.
- d. At the discretion of the ACUC Chair, the PI will be invited to attend the ACUC meeting at which his/her new or fourth year renewal application is being considered, in order to clarify details of the proposed animal use.
- e. If ACUC determines that changes are required, those requirements will be communicated in writing to the PI by the ACUC [CoordinatorSpecialist](#). Once the PI has made changes, the ACUC Chair will issue the approval if s/he is satisfied the requirements have been met, or will refer the application to full ACUC or members of the ACUC if not satisfied. ACUC will make decisions by consensus wherever possible. See *Animal Care and Use Roles and Responsibilities Procedure* for additional details.
- f. Ethics approval for animal use is issued for twelve (12) months at a time or for such shorter period of time specified in the approval.
 - i. Where animal use requires ongoing ACUC approval, it is the responsibility of the PI to ensure that an annual report and application for renewal is made in sufficient time before the expiry date of the approval to permit review [and incorporation of any changes required by ACUC before approval](#). [Annual reports are reviewed by specific assigned reviewers and are distributed to all ACUC members and discussed at full meetings of ACUC](#).
 - ii. A complete renewal, including a fully updated animal use application, must be submitted after three consecutive renewals or when otherwise deemed necessary by ACUC.
 - iii. If the PI does not provide an annual report by the approval expiry date, the protocol will [normally](#) be closed and no further animal work will be allowed. ACUC, the animal services unit and REO will work with the PI to find an appropriate resolution to any affected animal care and use.
 - iv. To facilitate animal ordering and financial administration, the Research Services Office and the animal services unit(s) will be notified by REO when an application is approved and when approval is renewed or expires or the application is closed.

4. AMENDMENTS TO AN APPROVED ANIMAL USE PROTOCOL

From time to time, approved animal use protocols may need to be amended to incorporate new procedures or design, new animal numbers or strains, changes in personnel and other changes to the animal use. Amendments to an approved animal use protocol must be completed using [REMO-online research ethics system](#) and must be approved by the same ACUC that provided the original approval before amendments can be implemented. [Depending onRegardless of](#) the scope of the amendment(s) and the implications for animal care and use, the PI [may-must](#) submit an amendment or [may-be requiredthe ACUC may require the PI](#) to submit a new animal use protocol. [Multiple changes and/or changes which are more likely to cause a change in animal welfare will be subject to a higher level of scrutiny](#).

- a. Administrative amendments, including [reduction in number of animals used, change in strain of animal\(s\)](#), funding changes and personnel/contact information changes can be submitted at any time and will be received by the ACUC [CoordinatorSpecialist](#) on behalf of ACUC. [If the ACUC Specialist believes an amendment is not administrative, it may be referred to the University Veterinarian to determine if it requires ACUC Chair or subcommittee review](#). Administrative amendments are documented in the online research ethics system.

- b. Minor Amendments—amendments that have little or no impact on the approved animal use may be approved by the ACUC Chair. These include reduction in number of animals used, changes which reduce the invasiveness or stress on the animal, changes in animal procedures or drugs used (where the effects on the animal are equivalent), moderate-small increases in animal numbers (≤25% of the number previously approved), addition of or changes animal species/strains that are not known to have specific housing/care requirements and changes in anesthetic or analgesic made on the recommendation of a veterinarian to improve the welfare of an animal, particularly as documented in the Post Approval Monitoring Log, changes in the use of hazardous agents, subject to Environmental Health and Safety review. At any time, the ACUC Chair can send the amendment to full ACUC, or a subcommittee thereof, for review. Minor changes in anesthetic or analgesic made on the recommendation of a veterinarian to improve the welfare of an animal can be made without review but must be reported as a refinement in the next annual report. Minor amendments are reported and documented in the minutes of the following ACUC meeting.
- e. ~~Amendments that have more than minor impact on animal use will be reviewed by a sub-committee of ACUC, including the Chair, the veterinarian and a community member and, at their discretion, approved or referred to full ACUC for review. These include changes in species, sex, breed, strain (with health implications), age and genetic manipulation that will alter the animal procedures, introduce earlier endpoints, or trigger specific housing/care requirements, increase in animal numbers by more than 25%, change in anesthetic agent or use of analgesic agents, changes in method of euthanasia, new procedure or manipulation, particularly ones judged to result in increased potential for pain and distress and change in duration, frequency or number of procedures performed. At any time, either the ACUC Chair or the ACUC veterinarian can send the amendment to full ACUC review.~~

~~Major changes to the approved animal use protocol will normally require submission of a new animal use application which must be reviewed by full ACUC. Examples of major changes include a change in the main objective of the study or direction of research, a change from non-survival to survival surgery, an increase in the category of invasiveness, addition of category D procedures to a category D protocol and withholding or reducing substantially the use of analgesics or other drugs or procedures which provide comfort or safety for an animal handler.~~

- c. Major changes to the approved animal use protocol must be reviewed by the ACUC and may require submission of a new animal use protocol application. All major amendments of animal use protocols will be reviewed by at least a sub-committee of ACUC, including the Chair, the veterinarian and a community member. At the discretion of the subcommittee or any member thereof, the amendment may be referred for review and discussion at a meeting of the full ACUC.
- i. Changes which may be reviewed by a sub-committee include: changes in species, strain (with health implications), age and genetic manipulation that will alter the animal procedures, introduce different endpoints, or trigger specific housing/care requirements; large increase in animal numbers; change in housing or procedure location; change in anesthetic agent or use of analgesic agents; changes in method of euthanasia from a non-physical to a physical method or from an approved to a conditionally approved method; a new procedure or manipulation, particularly ones judged to result in increased potential for pain and distress and change in duration, frequency or number of procedures performed.
 - ii. Major changes to an existing animal use protocol that require review of the protocol at a full meeting of the ACUC include any protocol in which multiple changes are made; the addition of category D procedures to a category D protocol; addition of new Category E procedures to any protocol; a considerable increase of the number of animals required vs. the number in the original protocol; a change of species; use of more invasive or more frequent procedures and use of entirely new procedures.
 - iii. Major changes that will normally require submission of a new animal use protocol include a change in the main objective of the study or direction of research; a change from non-survival to survival surgery; an increase in the category of invasiveness; a major change in experimental procedures and withholding or reducing substantially the use of analgesics or other drugs or procedures which provide comfort or safety for an animal.

d. —

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[Online Research Ethics System](#)

[University Animal Policy and Welfare Committee](#) (University of Alberta)

Approval Date: November 1, 2015

Parent Policy: [Animal Ethics Policy](#)

Animal Care and Use Standard Operating Procedures: Definition, Creation, Approval and Management Procedure

Office of Administrative Responsibility:	Research Ethics Office (REO)
Approver:	Vice-President (Research)
Scope:	Compliance with this university procedure extends to all academic, support and excluded staff, postdoctoral fellows, and academic colleagues as outlined and defined in the Recruitment Policy (Appendix A and Appendix B: Definitions and Categories) ; undergraduate and graduate students; emeriti; visitors to campus, including visiting scholars; third party contractors; and volunteers Academic Staff and Colleagues and Support Staff as outlined and defined in Recruitment Policy (Appendix A and Appendix B) in addition to third party contractors, visiting speakers, professors emeriti, undergraduate and graduate students, post-doctoral fellows, volunteers and to all persons who use animals for research, teaching or testing.

Overview

The **Canadian Council on Animal Care (CCAC)** and the University of Alberta encourage the use of formal, written standard operating procedures (SOPs) for commonly used animal procedures wherever possible. In addition to promoting consistent and verifiable processes across the Animal Care and Use Program, SOPs offer **Principal Investigators (PIs)** an alternative to writing detailed procedures each time they prepare a protocol. Similarly, the use of SOPs reduces the review burden for the Animal Care and Use Committees (ACUCs) and simplifies the work of the **animal services units**.

Note: This Procedure addresses only SOPs involving live animals.

Purpose

- Define different types of animal care and use SOPs.
- Define the processes by which SOPs are created, approved and managed.

PROCEDURE

1. STANDARD OPERATING PROCEDURE REQUIREMENTS

SOPs are sets of fixed instructions or steps to be followed in carrying out a given operation or in a given situation. SOPs may be developed by various members of the animal care and use program for a range of activities, including record keeping, equipment maintenance, use of equipment, emergency management and animal care and use.

- a. Any SOP involving live animals must be reviewed and approved by an ACUC before it can be used. Changes to SOPs must also be approved before they are implemented.
- b. SOPs should follow a standard template and provide sufficient detail so that trained personnel new to the animal care and use program should be able to carry out the procedure.

- c. Animal services units and ACUCs should, as much as possible, encourage PIs and their research personnel to follow common, consistent SOPs for animal care and use procedures.

2. INSTITUTIONAL SOPs

Institutional SOPs should be established for procedures involving animals that are common across research areas and/or animal services units and to promote best practices for the University's animal care and use program.

- a. Institutional SOPs should, wherever possible, make use of existing approved unit level or PI SOPs. Institutional SOPs may incorporate material from SOPs in use at other CCAC accredited institutions.
- b. Institutional SOPs will be reviewed and approved by the University Animal Policy and Welfare Committee (UAPWC), which includes Directors of the animal services units and Chairs of ACUCs, or by a sub-committee of UAPWC, created for that purpose. Institutional SOPs will be accepted by all University ACUCs and animal services units.
- c. SOPs relevant to the services provided by two or more of the animal services units must be endorsed by all units before they are presented to UAPWC for approval as institutional SOPs.
- d. Whether or not institutional SOPs are regularly reviewed by ACUCs in connection with specific animal use protocols, they should be reviewed by UAPWC at least every ~~four~~three years.
- e. Any member of the University animal care and use program may recommend development of an institutional SOP to UAPWC. However, UAPWC will give priority to development of SOPs for commonly used procedures.
- f. The institutional animal user training program and ACUCs will reinforce the use of SOPs, in particular institutional SOPs or SOPs maintained by the animal services units.
- g. Approved institutional SOPs will be maintained in the [Research and Ethics Management Online \(REMO\)online research ethics](#) system by REO and will be accessible online to ~~REMO~~ animal module users.

3. ANIMAL SERVICES UNIT SOPs

Directors of the Animal Services Units must establish and maintain SOPs for services or activities performed by their staff or in their facilities.

- a. Unit level operational SOPs address various functions of an animal services unit in addition to those that involve animal care and use, for instance equipment maintenance, cleaning and record keeping. Operational SOPs that do not involve animals do not require ACUC approval.
- b. Unit level animal care and use SOPs involving live animals may or may not be associated with a specific animal use protocol. Unit level SOPs connected to animal use protocols maintained by the Director, for instance, training or breeding protocols should be reviewed in conjunction with the animal use protocol or when these SOPs are amended. Stand-alone SOPs, for rarely used procedures, should be reviewed by ACUC at least every ~~four~~three years.
- c. Animal services units should provide species and procedure or technique training consistent with approved institutional and unit level SOPs.
- d. The Director must ensure current approved versions of his/her unit's SOPs are available to staff and researchers as needed.

4. INVESTIGATOR SOPs

PIs may create standard operating procedures for specialized activities that they or their research personnel perform regularly.

- a. PI level SOPs [for protocol-specific procedures](#) involving live animals will typically be approved by an ACUC, in connection with the PI's animal use protocol, [and reviewed in detail with full protocol renewal](#) every four years or in the event of changes. The animal use protocol identifies the animal users and their training, as well as the context in which [protocol-specific](#) SOPs will be employed. The more invasive the SOP, the more important it is to verify that the personnel following the SOP have commensurate training.

- b. The PI must ensure that current approved versions of his/her SOPs are available to all members of his/her research group on an as needed basis.
- c. A PI may also include institutional or unit level SOPs in his/her animal use protocol and make minor modifications to the SOPs, provided those modifications are approved by ACUC.

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

[Research and Scholarship Integrity Policy](#) (UAPPOL)

[On-line Research Ethics System](#)

Approval Date: November 1, 2015
Parent Policy: [Animal Ethics Policy](#)

Animal Care and Use Post-Approval Monitoring Procedure

Office of Administrative Responsibility:	Research Ethics Office (REO)
Approver:	Vice-President (Research)
Scope:	Compliance with this university procedure extends to all academic, support and excluded staff, postdoctoral fellows, and academic colleagues as outlined and defined in the Recruitment Policy (Appendix A and Appendix B: Definitions and Categories); undergraduate and graduate students; emeriti; visitors to campus, including visiting scholars; third party contractors; and volunteers Academic Staff and Colleagues and Support Staff as outlined and defined in Recruitment Policy (Appendix A and Appendix B) in addition to third party contractors, visiting speakers, professors emeriti, undergraduate and graduate students, post-doctoral fellows, volunteers and to all persons who use animals for research, teaching or testing.

Overview

Post-approval monitoring enables **Principal Investigators (PIs)**, animal care and use committees (ACUCs), **animal services units** and the University to assess animal care and use in practice and to close any gaps between those practices and approved animal use applications. Post-approval monitoring involves a wide range of activities, from PI self-assessments and regular animal health monitoring by the veterinarian and animal care staff to lab visits and formal observation of techniques. An effective post-approval monitoring program is based on collaborative and collegial processes relying on information from many sources, including animal use applications, animal health programs, ACUC site visits, veterinary rounds, incident reports, self-assessments, laboratory visits by staff engaged in the University Animal Policy and Welfare Program and other reports.

The **Canadian Council on Animal Care (CCAC)** requires that the University establish and define a post-approval monitoring program to audit approved animal use applications and to provide continuing education to ensure consistency of practices with approved animal use applications and University policy and procedures. Recognizing that University research is built on scholarly integrity and trust, the starting point for post-approval monitoring is that researchers typically adhere to the activities described in their animal use applications. Consequently, post-approval monitoring will most often involve information exchange about procedures that work well, continuing education about areas that are problematic and assessments of novel issues so that best practices inform all animal care and use.

Purpose

- Describe the objectives of the post-approval monitoring program.
- Describe the components of the post-approval monitoring program and its relationship to the overall animal care and use program.

PROCEDURE

1. POST-APPROVAL MONITORING OBJECTIVES

- a. PIs, ACUCs, the animal services units, and senior administration share responsibility for ensuring that animal care and use performed by University staff and trainees is consistent with ACUC decisions and institutional and CCAC standards.
- b. Neither University Animal Policy and Welfare Committee (UAPWC) nor ACUC representatives are present when animal use protocols are conducted so they must work with PIs and members of the veterinary and animal care staff to ensure compliance with ACUC decisions and with the conditions set out in the approved animal use application.
- c. The most important partner in post-approval monitoring is the PI. S/he agrees to undertake his/her animal care and use in practice as approved in principle by ACUC when s/he signs the final version of the animal use application, and s/he is responsible for the conduct of his/her staff and trainees.
- d. The veterinarians and animal care staff are also essential partners in post-approval monitoring as they deliver applied animal user training and provide day-to-day assistance and information with respect to animal care and use and will often be the first to learn of an animal welfare issue.
- e. All University staff and students working with animals must work together in a collegial manner and attempt to correct deficiencies collaboratively.
- f. Deficiencies may arise for a number of reasons, including knowledge gaps, protocol drift, poor record keeping, communication problems and human error. Deficiencies can be corrected through protocol updates or amendments, improved practice, better training and more rigorous attention to detail.
- g. In the rare event there are persistent and/or deliberate breaches of compliance that threaten the health, welfare and/or safety of personnel or animals or personnel, these issues must be reported to the Chair of ACUC that approved the protocol ~~and the Chair of UAPWC~~. Breaches of compliance or non-compliance with approved animal use protocols will be handled according with University policy and procedures may constitute research misconduct and will be handled according to the Research and Scholarship Integrity Policy to the Animal Care and Use Non-Compliance Procedure. Serious incidents or chronic cases of non-compliance will be reporting according to the Research and Scholarship Integrity Policy.

2. POST-APPROVAL MONITORING ACTIVITIES

- a. Post-approval monitoring procedures should not be unduly cumbersome or intrusive. They may be a natural extension of many animal care and use activities that are already in place and should leverage existing information and processes wherever possible. These include, for example, day-to-day observation of animal health and application of endpoints, assistance provided by ACUC personnel to animal users with their animal use applications, including processes for amending applications, site visits and discussions of animal use protocols by ACUC members and veterinary assistance and follow-up for new procedures and/or procedures more likely to result in animal pain and distress.
- b. The following are examples of how post-approval monitoring activities will be incorporated with existing practices:
 - i. Self-Assessment – Following approval of a new animal use application, including major amendments and fourth year renewals, REO will provide the PI with a self-assessment form which s/he may complete and append to the animal use application.
 - ii. Veterinarian reports – A simple form, created in consultation with the animal services units, will be filled out by veterinarians after visiting a lab or attending a procedure. Each report will be appended to the relevant animal use application.
 - iii. ACUC facility tours – ACUC's observations related to animal procedure and housing space made during its annual visits will be appended to individual animal use applications wherever possible.
 - iv. Animal care reports – These could take many forms, ranging from copies of records maintained by staff in the animal services units to incident reports and post-mortems and will be appended to the animal use applications.
 - v. Facility Reports – The animal services units can append information on routine or non-routine events, for example, power outages, disease outbreaks, treatment and resolution, and the like.
- c. The Post-Approval Monitoring Program will also involve lab visits, which may be random and unannounced or for cause. For instance, studies involving a higher category of invasiveness, complex or novel

procedures, alternate animal housing or identified by ACUC as requiring additional follow-up are more likely to receive for cause visits.

3. POST-APPROVAL MONITORING RESOURCES

- a. The ~~Post-Approval Monitoring Coordinator~~[Animal Care and Use Consultant](#) ~~will be housed~~ in REO and will support the ~~Post-Approval Monitoring Reviewers~~[Post-Approval Monitoring Program, including the reviewers](#). The Post-Approval Monitoring Reviewers, between 3 and 6 knowledgeable and experienced animal users, will be recruited by the ~~Post-Approval Monitoring Coordinator~~[Animal Care and Use Consultant](#) in consultation with ACUC Chairs and Chair of UAPWC.
- b. The ~~Post-Approval Monitoring Coordinator~~[Animal Care and Use Consultant](#) will be an ex officio member of all ACUCs and will attend all ACUC meetings. In addition, the Post-Approval Monitoring Committee members will be ACUC members and will be encouraged to attend meetings, although they will not be required to review protocols.
- c. Post-approval monitoring activities and information will be captured at a protocol level in the [Research Ethics and Management Online \(REMO\)](#)[online research ethics](#) system as much as possible.
- d. REO will provide administrative support for the Post-Approval Monitoring Program.

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[Research and Scholarship Integrity Policy](#) (UAPPOL)

[Online Research Ethics System](#)

Original Approval Date: January 11, 2010

Most Recent Approval Date: November 1, 2015

Parent Policy: [Animal Ethics Policy](#)

Animal Care and Use Committee Appeal Procedure

Office of Administrative Responsibility:	Research Ethics Office (REO)
Approver:	Vice-President (Research)
Scope:	Compliance with this university procedure extends to all academic, support and excluded staff, postdoctoral fellows, and academic colleagues as outlined and defined in the Recruitment Policy (Appendix A and Appendix B: Definitions and Categories); undergraduate and graduate students; emeriti; visitors to campus, including visiting scholars; third party contractors; and volunteers Academic Staff and Colleagues and Support Staff as outlined and defined in Recruitment Policy (Appendix A and Appendix B) in addition to third party contractors, visiting speakers, professors emeriti, undergraduate and graduate students, post-doctoral fellows, volunteers and to all persons who use animals for research, teaching or testing.

Overview

A **Principal Investigator** (PI) has the right to request, and the Animal Care and use Committee (ACUC) has an obligation to provide reconsideration of a negative decision by ACUC. If the PI and ACUC cannot achieve agreement through reconsideration, the PI may appeal the disputed decision of ACUC to the University Animal Policy and Welfare Committee (UAPWC) in accordance with this Procedure.

Purpose

To specify the grounds for an appeal of a decision by an ACUC and to detail the procedures to be followed in the event of an appeal.

PROCEDURE

1. If a PI, after exhausting all reasonable attempts to resolve disagreements cooperatively, disputes an ACUC decision, the PI (appellant) may appeal that decision to UAPWC.
2. Only UAPWC may hear an appeal of a decision of an ACUC of the University of Alberta. An appeal may only be made on the grounds that there has been a miscarriage of justice, such as an error in process, procedural irregularity, lack of due process, and exceptions to precepts of natural justice such as bias.
3. The decisions of UAPWC are final and binding.
4. UAPWC shall hear an appeal from the same appellant against the same decision only once.
5. A written appeal of an ACUC decision, outlining the grounds for the appeal and accompanied by supporting documentation, must be submitted by the PI to the ~~Administrative~~ Director of REO within thirty (30) working days of receipt of the written ACUC decision.
6. UAPWC members will be asked in advance of a hearing to declare any possible bias and, if bias is declared, will not be called upon to hear the appeal. No UAPWC member will hear an appeal if s/he participated in the ACUC decision being appealed. The appellant may request that any UAPWC member not be part of the appeal process on the grounds that the member's presence would bias and prevent a fair hearing. If the UAPWC Chair is, for

any reason, unable to chair the appeal hearing, the ~~Administrative~~ Director of REO will identify another member of UAPWC to serve as chair for the appeal hearing. Quorum for an appeal hearing shall be a minimum of five members, including a veterinarian, a community member and at least two scientists who may also be ACUC Chairs.

7. The ~~Administrative~~ Director of REO will acknowledge receipt of the appeal in writing to the appellant, and will forward the appeal and current procedures for appeal to the Chair of UAPWC, and the Chair of ACUC concerned.
8. The Chair of ACUC (respondent) must provide a written response to the appeal within ten (10) working days. This written response will include the following information:
 - a. All documents available at the ACUC meeting(s) related to the appeal;
 - b. All minutes of the ACUC meeting(s) related to the appeal;
 - c. A response to the PI's grounds for appeal; and
 - d. Any comments on the alleged miscarriage of justice and on the relief requested.
9. For the purposes of an appeal hearing, the Chair of UAPWC may augment UAPWC's membership by adding faculty members who serve on University of Alberta -ACUCs. These special members will be asked in advance of a hearing to declare any possible bias; if any such bias is present the member will not be called upon to hear the appeal. Both the appellant and the respondent will have the right to challenge these additional members.
10. REO will convene a meeting of UAPWC, with provisions for presentations by the appellant and the respondent, within thirty (30) working days of receipt of the appeal. The appellant will present the grounds for the appeal and speak to the issues. The respondent will present the reasons for the decision of ACUC and speak to the issues. Both sides may call witnesses and question the other parties. Both sides may have an advisor present during the hearing; however, the advisors may not be called as witnesses or participate in the presentations and questions.
11. UAPWC, having heard the oral presentations of both parties and having reviewed the written and supporting documentation, shall be the sole judge of the facts and shall, by majority vote, reach a decision before adjourning the appeal hearing. The Chair of UAPWC will, within ten (10) days of the appeal hearing, provide a written decision to REO. REO will transmit the decision to the appellant, the respondent and to such other parties as deemed appropriate.
12. If the appeal is upheld, UAPWC will immediately review the animal use application in question.

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[Research and Scholarship Integrity Policy](#) (UAPPOL)

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

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

[University Animal Policy and Welfare Committee](#) (University of Alberta)

Original Approval Date: June 2, 2005

Most Recent Approval Date: November 1, 2015

Parent Policy: [Animal Ethics Policy](#)

Animal Care and Use Roles and Responsibilities Procedure

Office of Administrative Responsibility:	Research Ethics Office (REO)
Approver:	Vice-President (Research)
Scope:	Compliance with this university procedure extends to all academic, support and excluded staff, postdoctoral fellows, and academic colleagues as outlined and defined in the Recruitment Policy (Appendix A and Appendix B: Definitions and Categories); undergraduate and graduate students; emeriti; visitors to campus, including visiting scholars; third party contractors; and volunteers Academic Staff and Colleagues and Support Staff as outlined and defined in Recruitment Policy (Appendix A and Appendix B) in addition to third party contractors, visiting speakers, professors emeriti, undergraduate and graduate students, post-doctoral fellows, volunteers and to all persons who use animals for research, teaching or testing.

Purpose

- Describe the membership, roles and responsibilities of the University Animal Policy and Welfare Committee (UAPWC) and its sub-committees.
- Describe the membership, roles and responsibilities of the Animal Care and Use Committees (ACUCs).
- Describe the roles and responsibilities of the **animal services units**.

PROCEDURE

1. UNIVERSITY ANIMAL POLICY AND WELFARE COMMITTEE (UAPWC)

- a. UAPWC is a standing committee of the Vice-President (Research) and is the institutional animal care and use committee for the University of Alberta. UAPWC oversees all animal care and use performed under the jurisdiction of the University to ensure humane and ethical treatment of animals in compliance with University and **Canadian Council on Animal Care (CCAC)** policies, guidelines, standards and procedures. As the institutional animal care and use committee, UAPWC:
 - i. recommends to the Vice-President (Research) on policies, procedures and standards for animal care and use at the University;
 - ii. oversees and monitors the work of ACUCs to which it has delegated responsibility for reviewing and managing animal use applications and ensures that ACUCs meet or exceed CCAC guidelines on animal care use;
 - iii. ensures all animal users are aware of their responsibility to remain in compliance with University standards for animal care and use;
 - iv. supports and promotes education and training opportunities for University staff and trainees on the ethics of animal care and use in research, teaching and testing;
 - v. advises the Vice-President (Research) about significant events in animal care and use and provides an annual report to the Vice-President (Research) on the status of the University's animal care and use program;
 - vi. directs and promotes the post-approval monitoring program for animal care and use;

- vii. recommends to the Vice-President (Research) on the construction, maintenance, or closure of University animal facilities;
 - viii. supports and promotes communication among and between the animal services units, **Principal Investigators (PIs)** and ACUCs to facilitate integrated and collaborative delivery of a comprehensive University-wide institutional animal care and use program;
 - ix. reviews regularly (at least every three years) the ~~terms of reference of ACUCs~~ [Animal Ethics Policy and Procedures](#);
 - x. hears appeals by PIs of negative decisions by an ACUC (see *Animal Care and Use Committee Appeal Procedure*), and
 - xi. supports a coordinated crisis management program for the animal services units in conjunction with the University's Integrated Emergency Master Plan.
- b. The Vice-President (Research) will appoint the following members, typically for three-year terms: the UAPWC Chair, two graduate student representatives, a representative of faculty animal users, a faculty member who does not engage in animal care and use, and two community members.

The following are *ex officio* members of UAPWC: the Vice-President (Research) or designate, the University Veterinarian, the ~~Executive~~ Director of REO, the Associate/Vice Deans (Research) of the Faculty of Science, the Faculty of Agricultural, Life and Environmental Sciences and the Faculty of Medicine and Dentistry, the Chairs of ACUCs, the Directors of [the animal services units](#), ~~the Biosafety Officer~~ [a representative of Environment Health and Safety](#), the ~~Post-Approval Monitoring Coordinator~~ [Animal Care and Use Consultant](#) and the Chair of the Cross Cancer Institute Animal Care Committee.

- c. UAPWC will meet at least twice per year and as often as necessary to fulfil its responsibilities. Quorum will constitute 50% of the membership plus one, including at least one veterinarian, once ACUC Chair and one community member. REO will serve as the secretariat for UAPWC.

2. COMMITTEE FOR ANIMAL RESOURCES (CAR)

- a. CAR is a standing committee of UAPWC. CAR concerns itself with evaluation of and planning for University animal facility use and development. It is comprised of the University Veterinarian, the ~~Executive~~ Director of REO, the Directors of the animal services units, ~~the Biosafety Officer~~ [a representative from Environment Health & Safety](#), a representative from Facilities and Operations, [the Associate/Vice Deans \(Research\) of the Faculties in which animal research is undertaken](#) and the Chair of UAPWC.
- b. CAR's specific responsibilities include:
- i. evaluating and making recommendations regarding upgrades to existing animal facilities, development of new facilities, and closure of facilities that do not meet CCAC guidelines;
 - ii. reviewing and approving all plans for new structures or renovations to existing facilities designed for animals, to ensure that CCAC guidelines for facilities are met or, when possible, exceeded;
 - iii. touring all University of Alberta animal facilities, at least every three years, to evaluate operations, maintenance and repair requirements;
 - iv. setting priorities/recommendations for any Facility Alteration Request (FAR) submitted by UAPWC;
 - v. providing a consultation service to faculty recruitment processes when animal use is anticipated;
 - vi. developing an integrated communication plan to address the needs of the research community and animal users, in particular to assist Facilities and Operations to provide timely and effective support for animal services units and PIs, in particular those operating alternate animal housing sites in the event of emergency, including power or HVAC failure, fire, flood, intrusion or criminal activities;
 - vii. identifying research trends involving animal use to facilitate long-term planning for facilities and infrastructure requirements.
- c. CAR shall meet at least quarterly, at the call of the Chair and as often as necessary to fulfil its responsibilities. Quorum will constitute 50% of the membership plus one. REO will serve as the secretariat for CAR.

3. ANIMAL CARE AND USE COMMITTEES (ACUCs)

Responsibility

- a. Animal Care and Use Committees are established by and report to UAPWC. ACUCs are: ACUC – Biosciences, ACUC – Livestock, ACUC – Health Sciences 1 and ACUC – Health Sciences 2.
- b. Each ACUC is mandated to approve, reject, propose modifications to or terminate the approval of any proposed or ongoing animal use that is subject to review under this Policy. ~~ACUCs provides quarterly reports to UAPWC on its activities. The Chairs of the ACUCs bring forward to UWPAC issues arising from the reviews they oversee.~~ Detailed information on the scope of each ACUC and its membership is ~~contained in the ACUCs' Terms of Reference described below and in the *Animal Care and Use Committee Structure, Application and Review Procedure* and UAPWC-in~~ records maintained by REO.
- c. ACUCs will review and assess animal use protocols, according to the *Animal Care and Use Committee Structure, Application and Review Procedure*, the *CCAC policy statement on: ethics of animal investigation* and CCAC guidelines on animal use protocol review as well as any other relevant CCAC guidelines and policy statements.
- d. ACUCs will work with the staff of the animal services units to ensure compliance with its decisions and with the conditions set out in approved animal use protocols.
- e. ACUCs will conduct annual on-site reviews of all the animal care facilities and areas in which animals are used associated with the animal use protocols it reviews. ACUCs will develop alternatives to on-site reviews for research conducted in the field.
- f. ACUCs will receive and follow-up unanticipated adverse event reports as required.
- g. ACUCs will implement strategies and recommendations arising from post-approval monitoring activities as required.
- h. ACUCs will contribute to and participate in CCAC site visits and assessments and other such assessments as required.

Membership

A dynamic and collaborative peer review process is vital to the animal care and use program. Senior administrators at all levels of the institution should acknowledge, support and, wherever possible, recognize the work of current ACUC members and assist with identification and recruitment of new members. Facility veterinarians and staff who serve on ACUCs, like researchers who are also reviewers, must be able to provide support and advocacy for both scientific excellence and ethical and humane use of animals according to CCAC guidelines. ACUCs, the animal services units and the PIs share responsibility for the effectiveness of the university animal care and use program.

- i. The ACUC Chair will typically be selected from among the current scientific/faculty membership of ACUC and will be appointed by the Vice-President (Research).
- j. Normally, ACUC members will be appointed by REO for terms of no less than two years and no more than four years, renewable to a maximum of eight consecutive years of service. The voting membership will include:
 - i. faculty/scientific members experienced in animal care and use and representative of the animal use commonly reviewed by ACUC;
 - ii. a veterinarian experienced in experimental animal care and use;
 - iii. the Director of the animal services unit, who may also be a veterinarian, most closely aligned with the majority of the animal use reviewed by the ACUC;
 - iv. an institutional member whose normal activities, past or present, do not depend on or involve animal use for research, teaching or testing;
 - v. at least one and preferably two or more person(s) representing community interests and concerns, who has (have) had no affiliation with the institution, who has (have) not been significantly involved in animal use for research, teaching or testing;
 - vi. technical staff representation (either an animal facility or an animal research technician);
 - vii. graduate student representation;

- viii. the Chair of UAPWC or designate, and
- ix. the [Post-Approval Monitoring Coordinator/Animal Care and Use Consultant](#).

The ACUC Coordinator, although not a voting member of ACUC, will provide advice and recommendations to ACUC on animal use protocols, CCAC requirements and ACUC processes.

Meetings

- k. ACUCs will typically meet once a month in person or as required at the call of the Chair.
- l. Decisions will, to the extent possible, be made by consensus. If consensus cannot be achieved, decisions must be supported by a simple majority of eligible voting members.
- m. Quorum will constitute the Chair, one veterinarian, one community member and at least two additional scientific members, one of whom must be a faculty member.
- n. ACUC members shall disclose any potential conflict of interest and recuse themselves from meetings or discussions about animal use protocols on which they are named.
- o. ACUC meetings and decisions will be documented in meeting minutes, correspondence and the [Research and Ethics Management Online](#) [online research ethics](#) system. ACUC records and discussions are confidential unless otherwise indicated.
- p. REO will serve as the secretariat for ACUCs and will compile the annual animal use data form for CCAC.

4. ANIMAL SERVICES UNITS

In order for investigators and teachers to have animals that are healthy subjects for research, teaching or testing and for the University to meet its obligations to protect the health and welfare of the animals, there must be competent veterinary and animal care service providers whose numbers and expertise match the nature and scope of the institutional program.

- a. The animal services units provide animal care and services in support of approved animal use at the University of Alberta.
- b. The animal services units are responsible for ensuring that animal care is in compliance with CCAC guidelines.
- c. All University operated facilities or locations where animals are used or housed must be overseen by and accountable to one of the animal services units.
- d. The animal services units [and their Directors and/or Directors of Animal Care](#) report to the Deans of their respective Faculties [for administrative matters](#) and are accountable to the [University Veterinarian as the designate of the](#) Vice-President (Research) ~~or designate~~ for their compliance with CCAC guidelines.

DEFINITIONS

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

Animal	Any living non-human vertebrate and any living invertebrate of the class of cephalopoda, including free-living and reproducing larval forms, used for research, teaching, or testing purposes by University staff or trainees.
Animal Services Units	Animal facilities established and operated by the University of Alberta as ongoing administrative units to provide veterinary and animal care staff, infrastructure, training, oversight and other resources to support the use of animals in research, teaching and testing by University staff and trainees. They currently are: Agricultural Food and Nutritional Sciences Animal Services (AFNSAS), Health Sciences Laboratory Animal Services (HSLAS) and Science Animal Support Services (SASS).
Canadian Council on Animal Care (CCAC)	The national organization responsible for setting and maintaining standards for the ethical use and care of animals used in science (research, teaching and testing) in Canada.
Principal Investigator (PI)	A member of the academic staff who is responsible for the design,

conduct, supervision and oversight of the care and use of animals in research, teaching or testing as describe in an approved animal use protocol.

FORMS

No forms for this Procedure. [[▲Top](#)]

RELATED LINKS

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[Agreement on the Administration of Agency Grants and Awards by Research Institutions](#) (Government of Canada)

[Animal Protection Act](#) (Government of Alberta)

[Animal Protection Regulation](#) (Government of Alberta)

[Canadian Council on Animal Care Guidelines](#) (CCAC)

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

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

[University Animal Policy and Welfare Committee](#) (University of Alberta)

Original Approval Date: (Effective Date:)

Parent Policy: Animal Ethics Policy

Animal Care and Use Non-compliance Procedure

Office of Administrative Responsibility:	Research Ethics Office (REO)
Approver:	Vice-President (Research)
Scope:	Compliance with this university procedure extends to all academic, support and excluded staff, postdoctoral fellows, and academic colleagues as outlined and defined in the Recruitment Policy (Appendix A and Appendix B: Definitions and Categories) ; undergraduate and graduate students; emeriti; visitors to campus, including visiting scholars; third party contractors; and volunteers who use animals for research, teaching or testing.

Purpose

- Provide guidance on how to maintain compliance with approved animal use protocols
- Identify levels of non-compliance, remedial action and consequences

PROCEDURE

1. GUIDANCE PRINCIPLES FOR MAINTAINING COMPLIANCE

- A **principal investigator** is responsible for ensuring that his/her animal use protocol (AUP) is complete and detailed so that his/her research team, the Animal Care and Use Committee (ACUC) and the **animal support services unit** all understand all the elements of the proposed animal care and use – what will be done, when and why, who will do the work and how.
- All research team members must have animal use training appropriate for the procedures and techniques they will perform and they must have access to all relevant AUP materials and standard operating procedures (SOPs) (see *Institutional Animal User Training Program Procedure*).
- SOPS must be kept up-to-date (see *Animal Care and Use Standard Operating Procedures Definition, Creation, Approval and Management Procedure*).
- Animal use protocols and amendments must be submitted for ACUC approval well before the research is expected to start or before changes are implemented.
- ACUC approvals are valid for one year. Protocol renewals must be resubmitted for review on an annual basis, and generally must be submitted at least two months before the expiry date for a regular renewal and at least three months in advance for 4th year full renewals, to allow time for ACUC review and revisions.

- f. A PI must submit an amendment to ACUC if s/he wants to make changes to an existing animal use protocol. Multiple changes and/or changes which are more likely to cause a change in animal welfare are more likely to be referred to the full ACUC. Any changes to an approved protocol must be reviewed and approved by ACUC before being implemented.
- g. The research team must perform only those procedures described in the approved animal use protocol. All members of the research team must have access to the approved animal use protocol and all related procedures. Procedures must only be performed as many times as approved for the experimental design described in the animal use protocol.
- h. All procedures performed on an animal must be recorded on a document (e.g. cage card) that is accessible by the veterinarian and animal support services staff.
- i. The PI is responsible for ensuring that post-procedure animals are monitored according to the schedule outlined in the approved protocol. The PI should consult with the veterinarian to determine if the monitoring schedule can be modified before submitting an amendment.
- j. The PI is responsible for developing and following a reliable humane endpoint monitoring system as described in the approved animal use protocol and for ensuring that staff and trainees working with animals can recognize signs of animal distress and/or compromised health that necessitate intervention or euthanasia.
- k. The PI is responsible for timely communication with the veterinarian regarding the health status of post-procedural animals. If an animal develops any complications following a procedure, the research team must promptly communicate those complications to the veterinary staff.
- l. The PI must ensure that only research staff listed on the approved animal use protocol perform procedures on animals and s/he is responsible for updating the personnel listed on his/her animal use protocol.

2. PROTOCOL NON-COMPLIANCE

- a. Research processes are dynamic and animal use in research poses particular challenges. Concerns may arise for a number of reasons, including knowledge gaps, protocol drift, inadequate record-keeping, equipment failures, communication problems and human error and may be identified by a PI, research team member, veterinary or animal care staff, ACUC members and others. Many of these concerns can be resolved quickly and effectively through collaborative work by the animal support services unit staff, veterinarians, and the research team and then reported to ACUC via the Post-Approval Monitoring log.
- b. Protocol non-compliance occurs when the animal use protocol approved by ACUC is not followed. Examples of non-compliance that might be termed protocol drift include accounting errors that result in the use of more animals than approved in the AUP, performing unapproved procedures, using unapproved anesthetics, making unapproved changes to approved animal procedures, failure to provide analgesics as approved, administering unauthorized agents, or unauthorized or untrained persons participating in a research project. Failure to submit an annual renewal of an AUP or failure to make changes or to address concerns as required by ACUC may also constitute non-compliance.
- c. The University Animal Policy and Welfare Committee (UAPWC) is the body responsible for determining and working to correct breaches of compliance with approved animal use protocols and SOPs. Because ethics review processes are premised on collegial relations, when faced with protocol non-compliance, the first response should be to find a way to bring the protocol into compliance. Consequently, UAPWC has delegated responsibility to ACUCs to make the initial assessment of non-compliance and to find ways to correct the issue.
- d. If concerns about protocol non-compliance are verified, ACUC can require corrections and impose specific conditions for continued animal use, as needed, per University policy and **Canadian Council on Animal Care (CCAC)** requirements. A clearly minor and unintentional misinterpretation of an institutional requirement that has not created a welfare problem for an

animal is an example of where verified protocol non-compliance might lead to an explanation and correction of the situation and no other action will be required.

3. CHRONIC PROTOCOL NON-COMPLIANCE OR CONTRAVENTION OF ANIMAL CARE AND USE STANDARDS
 - a. Chronic problems of recurring or continued non-compliance may be reported through Post-Approval Monitoring site visits, ACUC site visits or veterinary reports, and can be reported by anyone.
 - b. The details of the chronic issue(s) will be discussed by ACUC at the next meeting. ACUC will notify the PI in writing of the reported non-compliance. An initial meeting of a subcommittee of ACUC with the PI will be arranged as soon as possible to resolve the problem. If there is a subsequent recurrence of problems either associated with one particular animal care protocol or with several animal care protocols involving the same PI, a letter will be sent to the PI outlining the concerns and ACUC will arrange to meet the investigator at the earliest possible time to conduct a fact finding meeting. In the event that a member of ACUC is the PI named in the incident, ACUC will meet with the investigator at the earliest possible time to conduct a fact finding meeting. However, any subsequent discussion of the issue and the course of action to be taken will be conducted confidentially by ACUC in the absence of that member.
 - c. ACUC may recommend one or more courses of action in dealing with the resolution of chronic non-compliance issues (see Section 6 below). Measures must be taken by ACUC to ensure that humane treatment and animal welfare problems are effectively dealt with and will not reoccur.

4. SERIOUS NON-COMPLIANCE WITH AN APPROVED PROTOCOL
 - a. Serious non-compliance includes any situation where
 - i. animals suffer pain, or distress that is not consistent with the approved AUP, or
 - ii. the health and welfare of the animals is seriously compromised by inadequate housing, maintenance or monitoring of the animals in question.
 - b. In these cases, if the non-compliance endangers additional animals, or if the risk of repeated non-compliance is considered to be high, the initial course of action may include temporary suspension of the animal use protocol. This means that the investigator cannot conduct any new research work associated with the suspended protocol until the incident is reviewed by the full ACUC. The University Veterinarian in consultation with the Chair of the ACUC, will provide written notice to the PI and his/her delegates, the relevant Director and/or animal facility manager and ACUC as soon as possible (typically within 1 working day). The University Veterinarian will then communicate to the PI within 72 hours whether ACUC will extend the suspension beyond this initial period. ACUC has a duty to act as expeditiously as possible.
 - c. The University Veterinarian, the Director of the appropriate animal services unit and the Chair and other members of the relevant ACUC will arrange to meet the investigator at the earliest possible time to conduct a fact finding meeting and to determine an initial course of action to deal with the situation, including its causes, consequences and how to manage any remaining animals on the animal use protocol. The initial course of action will be developed at the first meeting, and may be elaborated at subsequent meetings or as additional facts concerning the incident emerge. A quorum of ACUC will make the final determination concerning the seriousness of the incident and of subsequent courses of action.

5. UNAPPROVED ANIMAL USE

- a. Failure to obtain ACUC approval for animal use in research, teaching and testing constitutes non-compliance and is a serious contravention of the Animal Ethics Policy and CCAC requirements.
- b. This non-compliance may be detected by animal services facility staff or veterinarians, the Post-Approval Monitoring program, ACUC and/or Environment Health & Safety (EHS) site visits and can be reported by anyone.
- c. The University Veterinarian, the Director of the appropriate animal services unit and the Chair and other members of the relevant ACUC will arrange to meet the investigator at the earliest possible time to conduct a fact finding meeting and to determine an initial course of action to deal with the situation, including its causes and consequences, and how to manage the animals involved. The initial course of action will be developed at the first meeting, and may be elaborated at subsequent meetings or as additional facts concerning the incident emerge.

6. ACTIONS AVAILABLE TO UAPWC AND THE ACUC TO ADDRESS NON-COMPLIANCE

- a. ACUC or UAPWC, in the event of an appeal of an ACUC decision, may follow one or more courses of action to address non-compliance and to ensure that humane treatment and animal welfare problems are effectively dealt with and will not reoccur. These may include, but are not limited to:
 - i. Implementing measures to correct the problem and prevent recurrence;
 - ii. Counseling, such as meeting with the PI and research team;
 - iii. Issuing warning letters;
 - iv. Mandating specific animal user training aimed at preventing future incidents;
 - v. Monitoring by the ACUC or its delegates (Animal Care and Use Consultant, Veterinarian) of research, testing, or training that involves animals;
 - vi. Revoking an Alternate Animal Housing permit;
 - vii. Revoking a PI's privileges to provide animal care or to conduct research, testing, or training procedures that involve animals, pending compliance with specific, ACUC-mandated conditions;
 - viii. Temporary or permanent suspension of one or all of a PI's animal use protocols
 - ix. Notifying the Department Chair and the Vice/Associate Dean (Research) of its actions;
 - x. Notifying Research Services Office (RSO) that ACUC approval is not in place;
 - xi. Recommending that REO and/or the Vice/Associate Dean (Research) initiate a complaint under the *Research and Scholarship Integrity Policy*;
 - xii. Notifying funding or regulatory agencies, as required.
- b. Depending on the nature of the non-compliance incident(s), suspension of a protocol (temporary or permanent) means that the investigator is either prohibited from conducting any *further* research work under the suspended protocol or any *new* research work under the suspended protocol (one of these two options will be spelled out in the meeting with, or letter to, the PI).
 - i. In all cases where a protocol is suspended, a quorum of the ACUC will outline the steps that must be taken to have the protocol reinstated. Requirements for reactivation of a suspended protocol will vary depending on the nature of the incident(s).
 - ii. Reactivation can occur once the ACUC receives written communication indicating that the PI has implemented the recommendations the ACUC or otherwise met the conditions to the satisfaction of the ACUC. The ACUC may also require follow-up visits and reports on the

conduct of the reinstated research protocol by the veterinary staff, the PAM Coordinator, or a subcommittee of the ACUC. The PI may also be asked to verify ongoing compliance by providing further information in the form of follow up report(s) or through site visits.

- iii. In some cases, reactivation may not be advised. If a permanent suspension of animal use is imposed, a PI may only be permitted to transfer grants and activities to another lab or to engage the services of one of the animal services units, which may conduct his/her research without direct involvement by the PI or his/her personnel.
 - c. PIs are expected to cooperate fully and expeditiously in the review process. In the event of non-cooperation by the investigator with the ACUC Chair, the ACUC, the University Veterinarian and/or his/her delegates approved by the ACUC, the ACUC may withdraw approval for all protocols belonging to a PI until the cooperation is received.
 - d. If the problems are determined to be largely due to actions of animal support services staff not supervised by the PI, the ACUC will document the problem to the University Veterinarian and the Director of the relevant facility, and the Director will take appropriate action to correct, re-train or remove the staff member(s) responsible.
 - e. Verified details of the circumstances of serious incidents of noncompliance or chronic noncompliance will be retained on file in the online research ethics system and with the Research Ethics Office, and the Principal Investigator in question will receive a copy.
 - f. A formal letter containing the details of the ACUC recommendations will be sent to the PI with copies to the Chair, Head or Dean of the investigator's academic unit. If the ACUC permanently suspends an investigator's research protocols, copies will also be sent to the VP Academic/Provost, and this could lead to a formal complaint under the *Research and Scholarship Integrity Policy*.
7. Non-compliance that cannot be corrected by ACUC working with the concerned animal users and veterinary/animal care staff will be referred to the Office of the Provost and Vice-President (Academic) according to the *Research and Scholarship Integrity Policy*.

DEFINITIONS

Definitions should be listed in the sequence they occur in the document (i.e. not alphabetical).

Any definitions listed in the following table apply to this document only with no implied or intended institution-wide use. [▲Top]	
Animal	Any living non-human vertebrate and any living invertebrate of the class of cephalopoda, including free-living and reproducing larval forms, used for research, teaching or testing by University staff or trainees.
Principal Investigator	A member of the academic staff named in the animal use protocol responsible for the animal use or an external investigator conducting animal use under the auspices of the University.
Animal Support Services Units	Agricultural Food and Nutritional Sciences Animal Services (AFNSAS), Health Sciences Laboratory Animal Services (HSLAS) and Science Animal Support Services (SASS)
Canadian Council on Animal Care (CCAC)	The CCAC is the national organization responsible for setting and maintaining standards for the ethical use and care of animals used in science (research, teaching and testing) in Canada.

FORMS

No forms for this Procedure. [▲Top]

RELATED LINKS

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[Agreement on the Administration of Agency Grants and Awards by Research Institutions](#) (Tri-Council)

[Animal-Based Projects Involving Two or More Institutions](#) (CCAC)

[Canadian Council on Animal Care Guidelines](#) (CCAC)

[On-line Research Ethics System](#)

[Research Ethics Office](#)

Original Approval Date: June 2, 2005

Most Recent Approval Date: November 1, 2015

Parent Policy: [Animal Ethics Policy](#)

Special Requests for Animal Care and Use Alternate Animal Housing Procedure

Office of Administrative Responsibility:	Research Ethics Office (REO)
Approver:	Vice-President (Research)
Scope:	Compliance with this university procedure extends to all academic, support and excluded staff, postdoctoral fellows, and academic colleagues as outlined and defined in the Recruitment Policy (Appendix A and Appendix B: Definitions and Categories); undergraduate and graduate students; emeriti; visitors to campus, including visiting scholars; third party contractors; and volunteers Academic Staff and Colleagues and Support Staff as outlined and defined in Recruitment Policy (Appendix A and Appendix B) in addition to third party contractors, visiting speakers, professors emeriti, undergraduate and graduate students, post-doctoral fellows, volunteers and to all persons who use animals for research, teaching or testing.

Overview

Animal facilities are expensive and complex to plan, design, build and maintain. Existing and planned facilities must meet **Canadian Council on Animal Care (CCAC)** guidelines. In addition, animal care is best carried out or overseen by animal health professionals whose primary goal is animal health and welfare in the service of high quality science. In cases where a **Principal Investigator (PI)** has a compelling justification to hold animals for more than 24 hours in an area that is not managed by one of the **animal services units**, the design and use of the alternate animal housing and the care of the animals housed, therefore, must follow CCAC guidelines and will require active collaboration between the PI, the animal services unit and the relevant Animal Care and Use Committee (ACUC).

Purpose

Identify the process for application, approval and supervision of alternate animal housing.

PROCEDURE

Animals obtained by the University of Alberta should be housed in facilities operated by one of the animal services units whenever possible. A PI may apply to house animals in alternate animal housing, provided:

- a. The PI has a compelling justification to establish and maintain alternate animal housing.
- b. The alternate animal housing is appropriately constructed or renovated for animal care and use.
- c. The Committee for Animal Resources (CAR), a subcommittee of the University Animal Policy and Welfare Committee (UAPWC), approves the alternate animal housing design and its proposed use.
- d. The alternate animal housing is linked to an active, approved animal use application.
- e. An ACUC approves the animal use in the alternate animal housing.

- f. The PI and/or his/her research personnel have the training necessary to provide animal care on par with care provided by the animal services units.
- g. One of the animal services units provides appropriate veterinarian oversight and services for animal care and use in the alternate animal housing.

1. APPROVAL OF THE ALTERNATE ANIMAL HOUSING

The PI must apply to CAR for approval of construction of a new space to house animals or renovation of any existing space in order to house animals in that space.

- a. As part of its deliberations, CAR will determine if the research needs can be met in existing facilities and will consult with the Chair of the relevant ACUC concerning approval of the animal use. Once CAR has approved the project and the construction or renovation is underway, the PI should provide updates to CAR and confirm when the work is complete.
- b. CAR will then conduct a site visit, and pending completion of any deficiencies, provide written approval of the alternate animal housing.

2. APPROVAL TO HOUSE ANIMALS IN ALTERNATE ANIMAL HOUSING

- a. Once CAR has approved the alternate animal housing, the PI must apply to ACUC for approval to house animals in that location as part of the regular animal use application process. The application should include the PI's justification for the alternate animal housing and CAR's final approval of the housing, as well as an operations manual for animal care in that location and the contract services agreement with the relevant animal services unit.
- b. Once ACUC has approved the request to house animals in the alternate animal housing, animals may be housed there. The alternate animal housing will then be subject to annual site assessments by ACUC, as well as any other conditions ACUC may impose.
- c. Animals on other animal use protocols may not be housed in that alternate animal housing unless ACUC has approved a specific application for such an arrangement and the housing will accommodate the additional animals.

3. OPERATION OF ALTERNATE ANIMAL HOUSING

- a. Ongoing approval for alternate animal housing is contingent on ongoing requirement for the housing as well as continuing approval for the animal use protocol and maintenance of a contract services agreement with the animal services unit.
- b. The PI must inform ACUC, the animal services unit and the University's Environmental Health and Safety Office when alternate animal housing is no longer required.
- c. The PI must inform the animal services unit and the University Biosafety Officer within twenty-four (24) hours of learning that an animal is missing from alternate animal housing, or if evidence of insect or rodent pests is found in the alternate animal housing location.

DEFINITIONS

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Animal	Any living non-human vertebrate and any living invertebrate of the class of cephalopoda, including free-living and reproducing larval forms, used for research, teaching, or testing purposes by University of Alberta staff and trainees.
Canadian Council on Animal	The national organization responsible for setting and maintaining

Care (CCAC)	standards for the ethical use and care of animals used in science (research, teaching and testing) in Canada.
Principal Investigator (PI)	A member of the academic staff who is responsible for the design, conduct, supervision and oversight of the care and use of animals in research, teaching or testing as described in an approved animal use protocol.
Animal Services Units	Animal facilities established and operated by the University of Alberta as ongoing administrative units to provide veterinary and animal care staff, infrastructure, training, oversight and other resources to support use of animals in research, teaching and testing by University staff and trainees. They currently are: Agricultural, Food and Nutritional Sciences Animal Services (AFNSAS), Health Sciences Laboratory Animal Services (HSLAS) and Science Animal Support Services (SASS).

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[Canadian Council on Animal Care Guidelines](#) (CCAC)

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

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

[Research and Scholarship Integrity Policy](#) (UAPPOL)

[University Animal Policy and Welfare Committee](#) (University of Alberta)

Original Approval Date: June 2, 2005

Most Recent Approval Date: November 1, 2015

Parent Policy: [Animal Ethics Policy](#)

Institutional Animal User Training Program Procedure

Office of Administrative Responsibility:	Research Ethics Office (REO)
Approver:	Vice-President (Research)
Scope:	Compliance with this university procedure extends to all academic, support and excluded staff, postdoctoral fellows, and academic colleagues as outlined and defined in the Recruitment Policy (Appendix A and Appendix B: Definitions and Categories); undergraduate and graduate students; emeriti; visitors to campus, including visiting scholars; third party contractors; and volunteers Academic Staff and Colleagues and Support Staff as outlined and defined in Recruitment Policy (Appendix A and Appendix B) in addition to third party contractors, visiting speakers, professors emeriti, undergraduate and graduate students, post-doctoral fellows, volunteers and to all persons who use animals for research, teaching or testing.

Overview

Consistent with its commitment to the highest possible standards in animal care and use in research, teaching and testing, the University has established and maintains an institutional animal user training program that meets or exceeds the requirements of the **Canadian Council on Animal Care (CCAC)** and is consistent with CCAC guidelines and standards.

Purpose

- Define the responsibilities of different members of the animal care and use program with respect to animal user training.
- Define the components of the animal user training program.
- Define the training required for animal users.
- Define how animal user training records will be validated and maintained.

PROCEDURE

1. GENERAL REQUIREMENTS AND RESPONSIBILITIES

All staff and trainees involved in the care and use of animals for research, teaching and testing must possess: an appreciation of the ethical issues surrounding the use of animals for scientific or pedagogical purposes in Canada and adequate knowledge and technical skills to humanely carry out approved procedures and to promote quality science based on the appropriate use of animals by skilled individuals.

- a. **Principal Investigators (PIs)** are responsible for ensuring that all personnel working with animals under their supervision are named on an approved animal use protocol and are adequately trained to appropriately and humanely carry out procedures on the animals in their care.
- b. Animal Care and Use Committees (ACUCs) are responsible for verifying that University personnel have the training necessary to carry out animal care and use procedures.

- c. Directors of the **animal services units** are responsible for ensuring delivery of species and technique specific training consistent with CCAC standards, institutional training requirements and approved standard operating procedures and for ensuring staff and trainees are trained for the animal care and use they conduct.
- d. The University Animal Policy and Welfare Committee (UAPWC) is responsible for oversight of the institutional animal user training program.
- e. REO is responsible for maintaining secure, consolidated, online records of animal user training.
- f. The Post-Approval Monitoring program will include assessments of animal users' competence and may include recommendations for additional training.
- g. All members of the animal care and use program, including the staff of the animal services units, are responsible for ensuring that research personnel working with animals are humanely carrying out the approved procedures assigned to them.

2. ANIMAL USER TRAINING PROGRAM

The Institutional Animal User Program has two major components: theoretical and practical.

a. Ethics of Animal Use Training

All University staff and trainees involved in the use of animals for research, teaching and testing must complete Ethics of Animal Use training, commonly known as Part 1 training.

- i. Part 1 training includes the following core topics: regulations and animal welfare, moral, legal and ethical issues and the concept of the Three Rs (Reduction, Refinement and Replacement).
- ii. Part 1 training is based on material developed by CCAC and other CCAC accredited institutions, including the University of Alberta. UAPWC will review the Part 1 training, at minimum every three years. REO will, on behalf of UAPWC, manage and maintain the course content.
- iii. Part 1 training is normally delivered online. REO manages access to the online course and maintains secure online records of all users who have successfully completed ethics of animal use training for reference by members of the animal care and use program.

b. Species, Technique and Other Training in Animal Use

All staff and trainees who handle or care for animals used in research, teaching or testing must be knowledgeable about the animals in their care and trained in the appropriate technical skills for the work they will perform.

- i. Part 2 training is organized by species. The five core components of Part 2 species training are: basic biology, husbandry, handling and restraint, euthanasia, zoonoses and human safety.
- ii. Directors of the animal services units are responsible for ensuring delivery and oversight of Part 2 training for animals regularly used in University research, teaching and testing, consistent with the animal work commonly supported by each unit.
- iii. Directors of the animal services units are also responsible for ensuring delivery and oversight of techniques or procedures training relevant to the research, teaching and testing they support, either in conjunction with the Part 2 training or separately.
- iv. Training provided by the animal services units will incorporate both approved unit level Standard Operating Procedures (SOPs) for animal care and use and approved institutional SOPs.
- v. If two or more animal services units provide Part 2 training in the same species or the same procedures/techniques, the training should be consistent.
- vi. Directors of the animal services units may delegate species and procedure/technique training duties to their staff commensurate with their qualifications. Competent trainers and supervisors are essential to maintaining high standards for animal care and use and trainer designations should be assigned appropriately.
- vii. Directors of the animal services units will ensure that all training is supported by relevant, up-to-date resource materials and that the training content is documented.

- viii. Directors of the animal services units will maintain teaching/training animal use protocols so that ACUCs review the training programs offered by the animal services units, at minimum every four years.
- ix. Directors of the animal services units will ensure appropriate records of the training provided by their staff are maintained. Successful user training results will be transmitted to REO using forms developed by REO for that purpose. REO will maintain these training records in a secure online system for access by members of the animal care and use program in the course of their work.
- x. Directors of the animal services units should also ensure research personnel receive orientations to their facilities, equipment and processes, including unit-level operational SOPs.

3. TRAINING REQUIREMENTS AND EXCEPTIONS

- a. All University staff and trainees who are involved in the use of animals or who work in facilities where animals are housed or used must complete Part 1 Animal User training provided by the University.
 - i. Although CCAC does not require community members serving on ACUCs to complete ethics of animal use training, they may take Part 1 training if they wish.
- b. University staff and trainees must complete appropriate species training plus frequently used technique or procedure training before they will be allowed to work with animals.
 - i. PIs who do not handle animals are encouraged to complete Part 2 training and relevant techniques and procedures training.
 - ii. PIs who do not complete Part 2 training must employ research personnel with the required training and authorize them to enforce appropriate standards and practices in animal care and use. Whether or not they work with or handle animals, PIs are responsible for the care and use of animals performed by their staff and trainees.
 - iii. Notwithstanding the foregoing, PIs who wish to house animals in their research areas must complete Part 2 species training and the animal services unit may require additional training for the research personnel providing animal care.
 - iv. Personnel who do not participate in hands on experimental procedures or work in areas in which animals are used or housed are not required to complete Part 2 training.
 - v. Directors of the animal services units may provide or authorize abbreviated species and procedures or techniques training for staff and trainees who will normally work under the supervision of trained animal users. This will be accepted as protocol specific training only and will not constitute Part 2 training.
- c. New University staff and trainees who have been trained in animal care and use at other institutions may present REO with evidence of comparable training.
 - i. The Chair of UAPWC may accept external Part 1 training in the ethics of animal use in lieu of the University administered training. REO will maintain records of the external training if it is accepted.
 - ii. Directors of the animal services units may accept external species and technique or procedure training in lieu of such training provided by the University. If the external training is accepted, Directors will provide to REO both details of the user's training and confirmation that the user's training meets the University's standards.
- d. If an animal services unit does not have the expertise to provide species or specialized procedure or technique training, the Director and the PI are responsible for identifying other sources of expertise and training.
 - i. Directors of the animal services units may designate alternate trainers who may be PIs, other University personnel or other individuals not associated with the University. Designation of alternate trainers should include details of their qualifications and expertise as well as how the alternate training will be provided.
 - ii. Directors of the animal services units will maintain records of alternate trainers and the animal user training they provide. Successful user training results will be transmitted by the animal services unit to REO following a standard template. REO will maintain these training records online for secure access by members of the animal care and use program in the course of their work.

4. SUPPLEMENTAL TRAINING

- a. By providing continuing education opportunities for animal users, the University can promote best practices and an institutional response to new procedures, the three Rs and societal views.
- b. As an animal user's responsibilities and activities change, s/he will be required to complete additional species and/or technique or procedure training.
- c. Post- Approval Monitoring personnel, veterinarians and animal care staff will meet with PIs and research staff to discuss and observe procedures and make recommendations, as necessary, about ways of addressing possible deficiencies.
- d. In cases of sub-optimal or unsuitable animal handling procedures, ACUCs, Directors of the animal services units and the Post-Approval Monitoring Coordinator are all authorized to require additional training.

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