

The following Motions and Documents were considered by the GFC Executive Committee at its Monday, September 8, 2014 meeting:

Agenda Title: Rescission of GFC Policy Manual Section 120.7 and Deletion of Section 120.8 (University Community Relations/Subsections 7 and 8) – Proposal from the Office of the Vice-President (Research)

CARRIED MOTION: THAT the GFC Executive Committee approve, under delegated authority from General Faculties Council, the rescission of Section 120.7 and deletion of Section 120.8 (University Community Relations)/Subsections 7 and 8) of the GFC Policy Manual, as submitted by the Office of the Vice-President (Research) and as set forth in Attachment 1, to take effect upon final approval.

Final Item: 4

Agenda Title: Deletion of GFC Policy Manual Section 96.1 (Research Policies/General Statement/Subsections 5, 6, and 7) – Proposal from the Office of the Vice-President (Research)

CARRIED MOTION: THAT the GFC Executive Committee approve, under delegated authority from General Faculties Council, the deletion of Section 96.1 (Research Policies/General Statement)/Subsections 5, 6 and 7 of the GFC Policy Manual, as submitted by the Office of the Vice-President (Research) and as set forth in Attachment 1, to take effect upon final approval.

Final Item: 5

Agenda Title: Deletion of GFC Policy Manual Section 116 (Trust Funds) – Proposal from the Offices of the Vice-President (Research), Vice-President (Advancement) and Vice-President (Finance and Administration)

CARRIED MOTION: THAT the GFC Executive Committee approve, under delegated authority from General Faculties Council, the deletion of Section 116 (Trust Funds) of the GFC Policy Manual, as submitted by the Offices of the Vice-President (Research), Vice-President (Advancement), and Vice-President (Finance and Administration) and as set forth in Attachment 1, to take effect upon final approval.

Final Item: 6

Agenda Title: Deletion of GFC Policy Manual 42 (Department Chairs, Chairs' Council, Department Council, Acting Chairs/Deans) – Proposal from University Governance

CARRIED MOTION: THAT the GFC Executive Committee approve, under delegated authority from General Faculties Council, the deletion of GFC Policy Manual 42 (Department Chairs, Chairs' Council, Department Council, Acting Chairs/Deans), as submitted by University Governance and set forth in Attachment 1, to take effect upon final approval.

Final Item: 7

Agenda Title: **Deletion of GFC Policy Manual 24 (Business Faculty) – Proposal from University Governance**

CARRIED MOTION: THAT the GFC Executive Committee approve, under delegated authority from General Faculties Council, the deletion of GFC Policy Manual 24 (Business Faculty), as submitted by University Governance and set forth in Attachment 1, to take effect upon final approval.

Final Item: 8

Agenda Title: **Faculty of Arts Selection and Reappointment/Review Procedures for Department Chairs and Directors of Interdisciplinary Programs**

CARRIED MOTION: THAT the GFC Executive Committee approve, under delegated authority from General Faculties Council and the Board of Governors, a proposal submitted by the Faculty of Arts for (proposed) Selection or Reappointment/Review Procedures for Department Chairs and Directors of Interdisciplinary Programs as set forth in Attachment 1, to take effect upon final approval.

Final Item: 9

Agenda Title: **Draft Agenda for the September 22, 2014 Meeting of General Faculties Council (GFC) and Proposal from the President Regarding Revitalization of Discussion at GFC Meetings**

CARRIED MOTION: THAT the GFC Executive Committee approve, under delegated authority from General Faculties Council, the Agenda for the September 22, 2014 meeting of General Faculties Council (GFC), as set forth in Attachment 2.

OUTLINE OF ISSUE

Agenda Title: Rescission of GFC Policy Manual Section 120.7 and Deletion of Section 120.8 (University Community Relations/Subsections 7 and 8) – Proposal from the Office of the Vice-President (Research)

Motion: THAT the GFC Executive Committee approve, under delegated authority from General Faculties Council, the rescission of Section 120.7 and deletion of Section 120.8 (University Community Relations)/Subsections 7 and 8) of the GFC Policy Manual, as submitted by the Office of the Vice-President (Research) and as set forth in Attachment 1, to take effect upon final approval.

Item

Action Requested	<input checked="" type="checkbox"/> Approval <input type="checkbox"/> Recommendation <input type="checkbox"/> Discussion/Advice <input type="checkbox"/> Information
Proposed by	Lorne Babiuk, Vice-President (Research)
Presenters	Ingrid Johnston, Associate Vice-President (Research); Katharine Moore, Senior Administrative Officer, Office of the Vice-President (Research)
Subject	Rescission and deletion, in part, of Section 120 (University Community Relations) of the GFC Policy Manual

Details

Responsibility	Vice-President (Research)
The Purpose of the Proposal is (please be specific)	To rescind GFC Policy Manual Section 120, Subsection 7, and to delete Section 120, Subsection 8. The issues addressed in these sections are now covered by more recent UAPPOL policies and institutional documents.
The Impact of the Proposal is	Outdated policy will be rescinded/deleted, thereby aligning the University's practices with current UAPPOL policy that has superseded the policies set out in the GFC Policy Manual. <u>Note:</u> Two sections of GFC Policy Manual Section 120 will be retained at the present time: i) Subsection 120.2 contains statements that will be incorporated into the re-writing of GFC Policy Manual Section 96.1 in UAPPOL, and this subsection will remain in force until the new UAPPOL documentation is approved; and ii) the University's General Counsel has advised that Subsection 120.9 will require discussion with the Association of Academic Staff - University of Alberta (AASUA), as Supplementary Professional Activity is part of the Faculty Agreement (Section 8), before any changes will be suggested. Discussions continue with Faculty Relations, the Office of Risk Management, the Office of the General Counsel, and the Policy Standards Office on where the material from Subsection 120.9 could potentially be located in UAPPOL.
Replaces/Revises (eg, policies, resolutions)	The Dean and the Associate Dean of the Faculty of Graduate Studies and Research (FGSR) confirmed by e-mail on March 4, 2014 that the first sentence of Subsection 120.7 is out of date and that the topic of the second sentence is covered in FGSR's Graduate Program Manual Section 10 - Intellectual Property: http://gradstudies.ualberta.ca/en/gpm/Section10.aspx . The Associate Vice-President (Research) responsible for the Postdoctoral Fellows Office (PDFO) confirmed by e-mail on August 25, 2014 that the UAPPOL Postdoctoral Fellows Policy https://policiesonline.ualberta.ca/PoliciesProcedures/Policies/Postdocto

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	<p>ral-Fellows-Policy.pdf) addresses the issues covered in Subsection 120.7 and, therefore, he supports the rescission of the subsection.</p> <p>Subsection 120.8 served as a placeholder in the GFC Policy Manual, and it is recommended for outright deletion.</p>
Timeline/Implementation Date	Upon final approval.
Estimated Cost	N/A
Sources of Funding	N/A
Notes	N/A

Alignment/Compliance

Alignment with Guiding Documents	<p><i>Dare to Discover, Dare to Deliver</i>, and the Comprehensive Institutional Plan (CIP).</p> <p><i>Dare to Discover</i> Cornerstone 4 – Transformative Organization and Support: Promote administrative effectiveness and good governance by improving communication among units, enhancing collaboration, implementing transformative ideas, and revising organizational structures.</p>
Compliance with Legislation, Policy and/or Procedure Relevant to the Proposal (please quote legislation and include identifying section numbers)	<p>1. Post-Secondary Learning Act (PSLA): The <i>PSLA</i> gives GFC responsibility, subject to the approval of the Board of Governors, over “academic affairs” (26(1)).</p> <p>2. UAPPOL: The Policy Development Framework states that “[n]ewly developed or revised policy will...not overlap or contradict other policy[.]”</p> <p>3. GFC Executive Committee Terms of Reference (Mandate): “Matters which are routine in carrying out the policies approved by General Faculties Council are delegated to the Executive Committee.” (3.2. (Routine Matters))</p>

Routing (Include meeting dates)

Consultative Route (parties who have seen the proposal and in what capacity)	Consultation has taken place with the Acting Provost and Vice-President (Academic), Vice-President (Finance and Administration) Senior Administrative Officer (SAO), General Counsel, Special Advisor to the Provost and Vice-President (Academic) on Faculty Relations, the Manager of the Policy Standards Office, the Associate Vice-President (Research) responsible for the Postdoctoral Fellows Office, and the Vice-Provost and Dean and the Associate Dean of the Faculty of Graduate Studies and Research.
Approval Route (Governance) (including meeting dates)	GFC Executive Committee (September 8, 2014) – for final approval
Final Approver	GFC Executive Committee

Attachments:

- Attachment 1 (pages 1 – 3) - GFC Policy Manual Section 120 Including Notes from the Presenters

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

GFC Policy 120 - University Community Relations

Context: At the 5 November 2012 Executive Committee meeting, the Executive approved under delegated authority from General Faculties Council, the rescission of Section 120 (University Community Relations) Subsections 1, 3, 4,5 and 6 of the GFC Policy Manual, to take effect immediately. This document provides an update on work related to the remaining subsections of Section 120, with recommendations for rescission where indicated.

Note from the University Secretariat: The *Post-Secondary Learning Act* gives GFC responsibility, subject to the authority of the Board of Governors, over "academic affairs" (section 26(1)). GFC has thus enacted a policy governing University-Community Relations, as set out below.

The complete wording of the section(s) of the *Post-Secondary Learning Act*, as referred to above, and any other related sections, should be checked in any instance where formal jurisdiction or delegation needs to be determined.

120.2 Freedom of Information

Grants and contracts are meant to further the goals of the University of Alberta and those of the faculty member in terms of research or creative activity. Consequently, there is a need for the free exchange of ideas or information and for the right and the obligation to publish the results of the research. The University of Alberta prohibits classified research. The maximum delay in publication must not exceed 18 months. Individual Faculties may insist on shorter delays.

However, departure from the foregoing norms can be entertained in the case of supplemental professional activities. Faculty members must consult with their Dean and Department Chair and obtain the advance approval of the University Vice-President (Research) prior to entering into an agreement that obligates them to respect proprietary information. Thus, although research should not be undertaken where the sponsor requires confidentiality of the results beyond that required either for normal patenting purposes or for professional confidentiality involving the protection of human rights and dignity, special provisions for nondisclosure may be obtained. (EXEC 03 MAY 2004)

Note from the Proposers:

Most of the points in this section also appear in GFC 96.1 (<http://www.gfcpolicymanual.ualberta.ca/en/96ResearchPolicies.aspx>). GFC 96.1 is itself under review so that it can be migrated to UAPPOL, and the contents of GFC Section 120.2 will be

incorporated in the proposed UAPPOL procedure entitled “Delay of Research Publication Procedure” that is currently being drafted. Once it is approved, this subsection can be rescinded.

No action is requested from GFC Executive at this time related to subsection 120.2.

120.7 Graduate Student and Postdoctoral Involvement

Graduate students and post-doctoral fellows who have been awarded stipends from public sector funds should not be assigned to projects funded by the private sector without prior approval of the Department Chair and the Dean of the Faculty of Graduate Studies and Research. It is required that students' financial interests and publication rights (within the University of Alberta Publication Guidelines) be formally protected prior to the students' involvement with a given project.

Notes from the Proposers:

The Dean and Associate Dean of the Faculty of Graduate Studies and Research confirmed by email on 4 March 2014 that this section can be rescinded on the basis that the first sentence is out of date and the topic of the second sentence is covered in the Graduate Program Manual Section 10 - Intellectual Property (<http://www.gradstudies.ualberta.ca/en/gpm/Section10.aspx>).

It is therefore recommended that subsection 120.7 be rescinded.

120.8 Reserved

Notes from the Proposers:

It is recommended that subsection 120.8 be rescinded.

120.9 Professional Liability

Although the University of Alberta carries liability insurance which extends to the activities of both academic and support staff while acting in the course of employment, (ie, performance of teaching, research and administrative responsibilities), when any faculty member is engaged in a supplementary professional activity or acting in a capacity independent of the University of Alberta, that member is not covered by the University. Any liability in such circumstances is a matter between the faculty member and the client, so the resultant contracts and obligations do not implicate the University of Alberta (see Clause 8.11*, Faculty Agreement).

* Readers are cautioned that both the text and numbering of Articles may change prior to ratification of the revised Faculty Agreement in early 1993.

In summary, the University of Alberta recognizes and respects the relationships that develop between the University of Alberta and the community and the benefits to be gained from the mutual exchange of services. University-community relations, including supplementary professional activities, are complementary to a faculty member's University role and responsibility. Such activities should enhance the faculty member's skill, knowledge and expertise and be considered beneficial to the community at large.

(GFC 24 JUN 1991)	(EXEC 01 FEB 1993)
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Notes from the Proposers:

Discussions continue with the Office of Risk Management, the Policy Standards Office, the Office of General Counsel and staff in Faculty Relations concerning where this material could potentially be located in UAPPOL, and no action is requested of GFC Executive at this time related to subsection 120.9.

OUTLINE OF ISSUE

Agenda Title: **Deletion of GFC Policy Manual Section 96.1 (Research Policies/General Statement/Subsections 5, 6, and 7) – Proposal from the Office of the Vice-President (Research)**

Motion: THAT the GFC Executive Committee approve, under delegated authority from General Faculties Council, the deletion of Section 96.1 (Research Policies/General Statement)/Subsections 5, 6 and 7 of the GFC Policy Manual, as submitted by the Office of the Vice-President (Research) and as set forth in Attachment 1, to take effect upon final approval.

Item

Action Requested	<input checked="" type="checkbox"/> Approval <input type="checkbox"/> Recommendation <input type="checkbox"/> Discussion/Advice <input type="checkbox"/> Information
Proposed by	Lorne Babiuk, Vice-President (Research)
Presenters	Ingrid Johnston, Associate Vice-President (Research); Katharine Moore, Senior Administrative Officer, Office of the Vice-President (Research)
Subject	Deletion, in part, of Section 96.1 (Research Policies) of the GFC Policy Manual

Details

Responsibility	Vice-President (Research)
The Purpose of the Proposal is (please be specific)	To delete GFC Policy Manual Section 96.1, Subsections 5, 6 and 7. The issues addressed in these sections are now covered by more recent UAPPOL policies and institutional documents.
The Impact of the Proposal is	Outdated policy will be rescinded/deleted, thereby aligning the University's practices with current UAPPOL policy that has superseded the policies set out in the GFC Policy Manual. <u>Note:</u> Four subsections of GFC Policy Manual Section 96.1 will be retained at the present time: i) Subsection 96.1.1 contains statements that will be incorporated into the 'Overview' section of the proposed UAPPOL procedure entitled "Delay of Research Publication Procedure," and this subsection will remain in force until the new UAPPOL documentation is approved; ii) Subsections 96.1.2, 96.1.3, and 96.1.4 will all be incorporated into the proposed UAPPOL procedure entitled "Delay of Research Publication Procedure," and these subsections will remain in force until the new UAPPOL documentation is approved.
Replaces/Revises (eg, policies, resolutions)	The content of Subsection 96.1.5 now resides in the Faculty of Graduate Studies and Research (FGSR) Graduate Program Manual Sections 8.4.1, 8.4.2, and 8.4.3 (http://www.gradstudies.ualberta.ca/gpm/Section8/Section8-4.aspx) as well as in Section 204 of the 2014-15 University Calendar http://www.registrar.ualberta.ca/calendar/GradStudies-and-Research/Regulations/204.html , thereby making Subsection 96.1.5 redundant. Comprehensive guidance concerning the use of student records is now contained in the UAPPOL Access to Personal Information for Research/Studies Procedure at https://policiesonline.ualberta.ca/PoliciesProcedures/Procedures/Access-to-Personal-Information-for-Research-Studies-Procedure.pdf , thereby making Subsection 96.1.6 redundant. The topics contained in Subsection 96.1.7 are covered in the seven

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	University documents listed in the attachment under “Notes from the Proposers”, thereby making Subsection 96.1.7 redundant.
Timeline/Implementation Date	Upon final approval.
Estimated Cost	N/A
Sources of Funding	N/A
Notes	N/A

Alignment/Compliance

Alignment with Guiding Documents	<p><i>Dare to Discover, Dare to Deliver</i>, and the Comprehensive Institutional Plan (CIP).</p> <p><i>Dare to Discover</i> Cornerstone 4 – Transformative Organization and Support: Promote administrative effectiveness and good governance by improving communication among units, enhancing collaboration, implementing transformative ideas, and revising organizational structures.</p>
Compliance with Legislation, Policy and/or Procedure Relevant to the Proposal (please quote legislation and include identifying section numbers)	<p>1. Post-Secondary Learning Act (PSLA): The <i>PSLA</i> gives GFC responsibility, subject to the approval of the Board of Governors, over “academic affairs” (26(1)).</p> <p>2. UAPPOL: The Policy Development Framework states that “[n]ewly developed or revised policy will...not overlap or contradict other policy[.]”</p> <p>3. GFC Executive Committee Terms of Reference (Mandate): “Matters which are routine in carrying out the policies approved by General Faculties Council are delegated to the Executive Committee.” (3.2. (Routine Matters))</p>

Routing (Include meeting dates)

Consultative Route (parties who have seen the proposal and in what capacity)	Consultation has taken place with the Manager of the Policy Standards Office, the Vice-Provost and Dean and the Associate Dean of the Faculty of Graduate Studies and Research, the Information and Privacy Officer, Legal Counsel in the Research Services Office, the University Records Officer, and General Counsel.
Approval Route (Governance) (including meeting dates)	GFC Executive Committee (September 8, 2014) – for final approval
Final Approver	GFC Executive Committee

Attachments:

- Attachment 1 (pages 1 – 5) - GFC Policy Manual Section 96.1 Including Notes from the Presenters

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

GFC Policy 96.1 - Research Policies

Context: Section 96.2 of GFC Policy was converted to UAPPOL on 26 June 2006 as the Research and Scholarship Integrity Policy (<https://policiesonline.ualberta.ca/PoliciesProcedures/Policies/Research-and-Scholarship-Integrity-Policy.pdf>). This document provides an update on work related to the remaining subsections of Section 96.1, with recommendations for rescission where indicated.

Note from the University Secretariat: The *Post-Secondary Learning Act* gives GFC responsibility, subject to the authority of the Board of Governors, over "academic affairs" (section 26(1)). The *Act* further provides that "[a] university may conduct pure research and applied research and may foster innovation (section 104(1)). GFC has thus enacted a policy concerning Research Policies, as set out below.

The complete wording of the section(s) of the *Post-Secondary Learning Act*, as referred to above, and any other related sections, should be checked in any instance where formal jurisdiction or delegation needs to be determined.

96.1 General Statement

1. When a member of staff requests research funds from an external agency such as government, industry, foundations, business, or professional organizations, or is asked to use professional skills on their behalf and the acceptance of such an undertaking means that the University is expected to provide facilities, space, equipment, or administrative assistance; or when the funds are used to support activities in which students or postdoctoral fellows are engaged as part of their education experience, the University considers the activity to be part of the University's pattern of research.

Note from the Proposers:

This wording will form the basis for the Overview section of the proposed UAPPOL Procedure entitled "Delay of Research Publication Procedure" that is currently being drafted. Once it is approved, this subsection can be rescinded.

No action is requested from GFC Executive at this time related to subsection 96.1.1.

2. The University of Alberta recognizes that one of the main purposes of University research is the discovery and dissemination of new knowledge. University research, therefore, which is pursued under conditions which restrict publication either in terms of content or beyond limits

established from time to time by the General Faculties Council is not compatible with University policy.

Notes from the Proposers:

This wording will form the basis for the Purpose section of the proposed UAPPOL Procedure entitled “Delay of Research Publication Procedure” that is currently being drafted. Once it is approved, this subsection can be rescinded.

No action is requested from GFC Executive at this time related to subsection 96.1.2.

3. It is University policy that, for research grants and contracts funded by external agencies, publication of research results not be delayed beyond 18 months from the date of submission of a final report. The University expects that research results will normally be published without any time restrictions. However, the University accepts delays which may be requested or required by the federal or provincial governments, or by private industry as set out in the following table:

Federal Government¹

Normally 3 months

Provincial Government²

Normally 12 months

Private Company/Industry²

Normally 18 months

¹Federal Government policy

²Provincial Government/Industry policy

Notes from the Proposers:

This concept will form the basis for section 1 of the proposed UAPPOL Procedure entitled “Delay of Research Publication Procedure” that is currently being drafted. Once it is approved, this subsection can be rescinded.

No action is requested from GFC Executive at this time related to subsection 96.1.3.

4. Exceptions to the 18-month limit (see Section 3 above) must be approved by the Office of the Vice-President (Research) and reported at regular intervals to the University Research Policy Committee and annually to GFC in May.

Notes from the Proposers:

It is planned that this concept will form the basis for section 2 of the proposed UAPPOL Procedure entitled “Delay of Research Publication Procedure” that is currently being drafted. Once it is approved, this subsection can be rescinded.

No action is requested from GFC Executive at this time related to subsection 96.1.4.

5. Withholding of Thesis

In principle, graduate students should not undertake, nor supervisors involve students in research for a thesis when the thesis project is part of a contract which prohibits public access to the thesis. A thesis will be made freely available to the public as soon as possible after the student's convocation. It is the responsibility of the supervisor and the supervisory committee to inform the student of the University policy on public access to thesis results and to explore with the student the possible ramifications of his/her research, at the outset of the thesis project.

The Faculty of Graduate Studies and Research has the authority to receive and approve a request for restricting public access to a thesis, for example, to allow time for patent claims to be filed. In such cases, the normal withholding period will be for a maximum of one year following the acceptance of the thesis by the Faculty of Graduate Studies and Research. Requests to have the thesis withheld should be submitted, in writing, to the Dean of the Faculty of Graduate Studies and Research as soon as it is known that such action will be necessary. The request should be made by the student, and must be supported by the supervisor and the department's graduate coordinator or chair.

(GFC 19 APR 1988) (EXEC 07 FEB 2011) (EXEC 04 FEB 2013)

Notes from the Proposers:

FGSR Associate Dean Joanna Harrington confirmed by email on 8 February 2014 that the content of this section now resides in the FGSR Graduate Program Manual sections 8.4.1, 8.4.2 and 8.4.3 (<http://www.gradstudies.ualberta.ca/gpm/Section8/Section8-4.aspx>), as well as in Section 204 of the 2014-15 University Calendar (<http://www.registrar.ualberta.ca/calendar/GradStudies-and-Research/Regulations/204.html>).

It is therefore recommended that subsection 96.1.5 be rescinded.

6. Access to Data for Research Purposes

When access to student records is sought for the purposes of research, such access may be granted by the Executive Committee of General Faculties Council on such terms as may be necessary to ensure the confidentiality of individual student records. (GFC 28 JUN 1971)

NOTE FROM THE UNIVERSITY SECRETARIAT: The GFC Committee on Research was disbanded in 1976 (GFC December 20, 1976) and its responsibilities were transferred to the Faculty of Graduate Studies and Research. (GFC 20 DEC 1976)

GFC received for information the terms of reference for the Research Policy Committee (URC). It was noted that URC would report orally to GFC at the same time that PPC, ADC and FDC report and that the URC would be providing an annual written report to GFC in January. (GFC 30 MAY 1988 For Information)

Notes from the Proposers:

Comprehensive guidance concerning the use of student records is now contained in the UAPPOL Access to Personal Information for Research/Studies Procedure (<https://policiesonline.ualberta.ca/PoliciesProcedures/Procedures/Access-to-Personal-Information-for-Research-Studies-Procedure.pdf>).

It is therefore recommended that subsection 96.1.6 be rescinded.

7. University Participation in Joint Ventures With Industry; Research Consulting by University Staff; Conflicts of Interest; University of Alberta Policy

On March 24, 1986, GFC approved the above-noted policy, copies of which are available from the Secretariat. (GFC 24 MAR 1986).

(Also see Section 109 for regulations on access to committee research.)

Notes from the Proposers:

The topics raised in this subsection are covered in the following University documents:

- i) Faculty Agreement Article 8 - Supplementary Professional Activities (<http://www.hrs.ualberta.ca/MyEmployment/~media/hrs/MyEmployment/Agreements/Academic/Faculty.pdf>), 2006
- ii) UAPPOL Conflict Policy - Conflict of Interest and Commitment and Institutional Conflict and three Procedures (<https://policiesonline.ualberta.ca/PoliciesProcedures/Policies/Conflict-Policy--Conflict-of-Interest-and-Commitment-and-Institutional-Conflict.pdf>), 2009
- iii) Graduate Program Manual Section 10 - Intellectual Property (<http://www.gradstudies.ualberta.ca/en/gpm/Section10.aspx>)
- iv) Graduate Program Manual Section 8 - Supervision, Oral Examinations, and Program Completion (<http://www.gradstudies.ualberta.ca/gpm/Section8.aspx>)
- v) Intellectual Property Guidelines for Graduate Students and Supervisors (<http://www.gradstudies.ualberta.ca/degreesuperv/~media/Faculty%20of%20Graduate%20Studies/common/IPGuide.pdf>), 2004

vi) UAPPOL Space Management Policy and seven Procedures (<https://policiesonline.ualberta.ca/PoliciesProcedures/Policies/Space-Management-Policy.pdf>), 2008

vii) UAPPOL Access to Information and Protection of Privacy Policy and two Procedures (<https://policiesonline.ualberta.ca/PoliciesProcedures/Policies/Access-to-Information-and-Protection-of-Privacy-Policy-.pdf>), 2007

It is therefore recommended that subsection 96.1.7 be rescinded.

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OUTLINE OF ISSUE

Agenda Title: **Deletion of GFC Policy Manual Section 116 (Trust Funds) – Proposal from the Offices of the Vice-President (Research), Vice-President (Advancement), and Vice-President (Finance and Administration)**

Motion: THAT the GFC Executive Committee approve, under delegated authority from General Faculties Council, the deletion of Section 116 (Trust Funds) of the GFC Policy Manual, as submitted by the Offices of the Vice-President (Research), Vice-President (Advancement), and Vice-President (Finance and Administration) and as set forth in Attachment 1, to take effect upon final approval.

Item

Action Requested	<input checked="" type="checkbox"/> Approval <input type="checkbox"/> Recommendation <input type="checkbox"/> Discussion/Advice <input type="checkbox"/> Information
Proposed by	Lorne Babiuk, Vice-President (Research); O'Neil Outar, Vice-President (Advancement); Phyllis Clark, Vice-President (Finance and Administration)
Presenters	Ingrid Johnston, Associate Vice-President (Research); Katharine Moore, Senior Administrative Officer, Office of the Vice-President (Research)
Subject	Deletion, in full, of Section 116 (Trust Funds) of the GFC Policy Manual

Details

Responsibility	Vice-President (Research), Vice-President (Advancement), and Vice-President (Finance and Administration)
The Purpose of the Proposal is (please be specific)	To delete GFC Policy Manual Section 116. The issues addressed in this section are now covered by more recent UAPPOL policy and procedure.
The Impact of the Proposal is	Outdated policy will be rescinded/deleted, thereby aligning the University's practices with current UAPPOL policy that has superseded the policies set out in the GFC Policy Manual.
Replaces/Revises (eg, policies, resolutions)	GFC Policy Manual Section 116 refers to matters that are the responsibility of three Vice-Presidents, and all three portfolios are supportive of the recommendation for the deletion of the full section. The UAPPOL Donation Acceptance Procedure: https://policiesonline.ualberta.ca/PoliciesProcedures/Procedures/Donation-Acceptance-Procedure.pdf outlines the appropriate way to handle donations. The UAPPOL Financial Management and Practices Policy: https://policiesonline.ualberta.ca/PoliciesProcedures/Policies/Financial-Management-and-Practices-Policy.pdf outlines how all funds (both restricted and unrestricted) are handled in the University. The use of the term "trust funds" has generally been replaced by the term "restricted funds" in reference to funding obtained for research.
Timeline/Implementation Date	Upon final approval.
Estimated Cost	N/A
Sources of Funding	N/A
Notes	N/A

Alignment/Compliance

Alignment with Guiding Documents	<i>Dare to Discover, Dare to Deliver</i> , and the Comprehensive Institutional Plan (CIP).
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	<i>Dare to Discover</i> Cornerstone 4 – Transformative Organization and Support: Promote administrative effectiveness and good governance by improving communication among units, enhancing collaboration, implementing transformative ideas, and revising organizational structures.
Compliance with Legislation, Policy and/or Procedure Relevant to the Proposal (please <u>quote</u> legislation and include identifying section numbers)	<p>1. Post-Secondary Learning Act (PSLA): The <i>PSLA</i> gives GFC responsibility, subject to the approval of the Board of Governors, over “academic affairs” (26(1)).</p> <p>2. UAPPOL: The Policy Development Framework states that “[n]ewly developed or revised policy will...not overlap or contradict other policy[.]”</p> <p>3. GFC Executive Committee Terms of Reference (Mandate): “Matters which are routine in carrying out the policies approved by General Faculties Council are delegated to the Executive Committee.” (3.2. (Routine Matters))</p>

Routing (Include meeting dates)

Consultative Route (parties who have seen the proposal and in what capacity)	Consultation has taken place with the Vice-President (Finance and Administration) Senior Administrative Officer, the Associate Vice-President (Operations and Planning), the Vice-President (Advancement) Senior Administrative Officer, the Associate Director (Finance) in the Research Services Office, and the Manager of the Policy Standards Office. All these individuals confirmed that the areas of their responsibility in Section 116 are now covered by UAPPOL policy and procedure, and they support the deletion in full of GFC Policy Manual Section 116.
Approval Route (Governance) (including meeting dates)	GFC Executive Committee (September 8, 2014) – for final approval
Final Approver	GFC Executive Committee

Attachments:

- Attachment 1 (page 1) - GFC Policy Manual Section 116

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

GFC Policy Manual

116. Trust Funds

Note from the University Secretariat: The Post-Secondary Learning Act gives General Faculties Council (GFC) responsibility, subject to the authority of the Board of Governors, over "academic affairs" (section 26 (1)). GFC has thus enacted a Policy on Trust Funds, as set out below.

The complete wording of the section(s) of the Post-Secondary Learning Act, as referred to above, and any other related sections, should be checked in any instance where formal jurisdiction or delegation needs to be determined.

All trust funds shall be administered in accordance with the regulations of the University of Alberta:

If a donor desires to give money to be administered by the University subject to conditions that are contrary to general University regulations, a decision must be made before the money is accepted. If the University accepts such a gift, the fund should be administered according to the conditions of the gift. (GFC 29 APR 1968) (EXEC 24 JAN 1983)

Although the major trust funds of the University obtained from the NRC, MRC, Department of National Defense and so on, will be administered according to the general University regulations, it should be possible to allow exceptions if the authority of the Vice-President (Research), in consultation where appropriate with the Vice-President (Finance and Administration) is obtained. (GFC 29 APR 1968) (EXEC 24 JAN 1983) (EXEC 14 JAN 2002)

OUTLINE OF ISSUE

Agenda Title: **Deletion of GFC Policy Manual 42 (Department Chairs, Chairs' Council, Department Council, Acting Chairs/Deans) – Proposal from University Governance**

Motion: THAT the GFC Executive Committee approve, under delegated authority from General Faculties Council, the deletion of GFC Policy Manual 42 (Department Chairs, Chairs' Council, Department Council, Acting Chairs/Deans), as submitted by University Governance and set forth in Attachment 1, to take effect upon final approval.

Item

Action Requested	<input checked="" type="checkbox"/> Approval <input type="checkbox"/> Recommendation <input type="checkbox"/> Discussion/Advice <input type="checkbox"/> Information
Proposed by	University Governance
Presenter	Garry Bodnar, Director of General Faculties Council Services and Secretary to GFC
Subject	Deletion, in full, of Section 42 (Department Chairs, Chairs' Council, Department Council, Acting Chairs/Deans) of the GFC Policy Manual

Details

Responsibility	Provost and Vice-President (Academic)
The Purpose of the Proposal is (please be specific)	To delete GFC Policy Manual Section 42. The issues addressed in this section are now covered by UAPPOL policy and procedure or were simply informational in nature.
The Impact of the Proposal is	To facilitate the process of migrating material from the GFC Policy Manual into the University of Alberta Policies and Procedures On-Line (UAPPOL) system by reducing redundancy across institutional policy documents. Outdated policy will be rescinded/deleted, thereby aligning the University's practices with current UAPPOL policy that has superseded the policies set out in the GFC Policy Manual.
Replaces/Revises (eg, policies, resolutions)	<p>Section 42 (Department Chairs, Chairs' Council, Department Council, Acting Chairs/Deans) of the GFC Policy Manual.</p> <p>The content of Subsection 42.1 now resides in the following, as set out in UAPPOL:</p> <ul style="list-style-type: none"> • Department Chairs Selection Procedure • Selection of Department Chairs Procedure (Appendix A): Roles and Responsibilities • Selection of Department Chairs Procedure (Appendix B): Terms and Conditions for Department Chairs • Acting and Interim Senior Administration Appointments Procedure <p>All three of the above-noted are located under the UAPPOL Recruitment Policy. See: https://policiesonline.ualberta.ca/PoliciesProcedures/Pages/DispPol.aspx?PID=69</p> <p>Subsections 42.2 and 42.3 are merely informational in nature, intended at the time of insertion into this section of the GFC Policy Manual (ie, back in 2007-2008) to point the reader to the 'Policies and Regulations' section of the University Governance website which is where this</p>

	information is contained.
Timeline/Implementation Date	Upon final approval.
Estimated Cost	N/A
Sources of Funding	N/A
Notes	N/A

Alignment/Compliance

Alignment with Guiding Documents	<i>Dare to Discover</i> Cornerstone 4 – Transformative Organization and Support: “Promote administrative effectiveness and good governance by improving communication among units, enhancing collaboration, implementing transformative ideas, and revising organizational structures.”
Compliance with Legislation, Policy and/or Procedure Relevant to the Proposal (please quote legislation and include identifying section numbers)	<p>1. Post-Secondary Learning Act (PSLA): The <i>PSLA</i> gives GFC responsibility, subject to the approval of the Board of Governors, over “academic affairs” (26(1)).</p> <p>2. UAPPOL: The Policy Development Framework states that “[n]ewly developed or revised policy will...not overlap or contradict other policy[.]”</p> <p>3. GFC Executive Committee Terms of Reference (Mandate): “Matters which are routine in carrying out the policies approved by General Faculties Council are delegated to the Executive Committee.” (3.2. (Routine Matters))</p>

Routing (Include meeting dates)

Consultative Route (parties who have seen the proposal and in what capacity)	University Governance; Discussion with Faculty Relations; Discussion with the Portfolio Initiatives Manager, Office of the Provost and Vice-President (Academic), and the Manager, Policy Standards Office, Risk Management Services
Approval Route (Governance) (including meeting dates)	GFC Executive Committee (September 8, 2014) – for final approval
Final Approver	GFC Executive Committee

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

- Attachment 1 (page 1) – Section 42 of the GFC Policy Manual

Prepared by: Garry Bodnar, Director of General Faculties Council Services and Secretary to GFC, University Governance, garry.bodnar@ualberta.ca

GFC Policy Manual

42. Department Chairs, Chairs' Council, Department Councils, Acting Chairs/Deans

42.1 Department Chairs

1. Where a Faculty is divided into Departments for each Department there shall be appointed a Department Chair

a. who is the chief executive officer of the Department; (GFC 26 OCT 1981) (BG 04 DEC 1981)

b. who is responsible to the Dean for the satisfactory performance of the work of the Department; (GFC 26 OCT 1981) (BG 04 DEC 1981)

c. who shall have general supervision over and direction of the activities of the Department subject, in order of priority, to University, Faculty and Department policies; (GFC 26 OCT 1981) (BG 04 DEC 1981)

d. who has such other powers, duties and functions as may be assigned by the Dean. (GFC 26 OCT 1981) (BG 04 DEC 1981)

2. In the event of the absence or inability to act of the Chair of the Department, or during any vacancy in the office of the Chair, the Vice-President (Academic), on the recommendation of the Dean, may appoint a person to serve as Acting Chair. (GFC 20 SEP 1982) (BG 01 OCT 1982)

42.2 Chairs' Council

Please see Policies & Regulations - Advisory Committees on website

42.3 Department Councils

Please see Policies and Regulations - Department Council Information on website

Department Council Information

GFC List

(GFC 26 OCT 1981)	(GFC 28 NOV 1988)
(BG 04 DEC 1981)	(EXEC 19 MAR 1998)
(GFC 20 SEP 1982)	(GFC 28 MAY 2001)
(BG 01 OCT 1982)	(EXEC 29 JUNE 2001)
(EXEC 09 JAN 1984)	(CC 04 JUNE 2002)
(GFC 30 JAN 1984)	(EXEC 05 MAY 2008)

OUTLINE OF ISSUE

Agenda Title: **Deletion of GFC Policy Manual 24 (Business Faculty) – Proposal from University Governance**

Motion: THAT the GFC Executive Committee approve, under delegated authority from General Faculties Council, the deletion of GFC Policy Manual 24 (Business Faculty), as submitted by University Governance and set forth in Attachment 1, to take effect upon final approval.

Item

Action Requested	<input checked="" type="checkbox"/> Approval <input type="checkbox"/> Recommendation <input type="checkbox"/> Discussion/Advice <input type="checkbox"/> Information
Proposed by	University Governance
Presenter	Garry Bodnar, Director of General Faculties Council Services and Secretary to GFC
Subject	Deletion, in full, of Section 24 (Business Faculty) of the GFC Policy Manual

Details

Responsibility	Provost and Vice-President (Academic)
The Purpose of the Proposal is (please be specific)	To delete GFC Policy Manual Section 24. The issues addressed in this section are now covered by regulations set out in the University Calendar.
The Impact of the Proposal is	To facilitate the process of migrating material from the GFC Policy Manual into the University of Alberta Policies and Procedures On-Line (UAPPOL) system and the University Calendar by reducing redundancy across institutional policy documents. Outdated policy will be rescinded/deleted, thereby aligning the University's practices with current UAPPOL policy and policy set out in the University Calendar, all of which have superseded the policies set out in the GFC Policy Manual.
Replaces/Revises (eg, policies, resolutions)	Section 24 (Business Faculty) of the GFC Policy Manual. The content of Subsection 24.5 now resides in Section 23.5.3(2) of the University Calendar, which covers the Master of Business Administration (MBA) final exams for the evening classes. (The Master of Public Management Program (MPM), as the 'note' in this subsection states, is no longer offered by the University of Alberta.) See: http://www.registrar.ualberta.ca/calendar/Regulations-and-Information/Academic-Regulation/23.5.html#23.5
Timeline/Implementation Date	Upon final approval.
Estimated Cost	N/A
Sources of Funding	N/A
Notes	N/A

Alignment/Compliance

Alignment with Guiding Documents	<i>Dare to Discover</i> Cornerstone 4 – Transformative Organization and Support: "Promote administrative effectiveness and good governance by improving communication among units, enhancing collaboration, implementing transformative ideas, and revising organizational structures."
Compliance with Legislation,	1. Post-Secondary Learning Act (PSLA): The PSLA gives GFC

<p>Policy and/or Procedure Relevant to the Proposal (please <u>quote</u> legislation and include identifying section numbers)</p>	<p>responsibility, subject to the approval of the Board of Governors, over “academic affairs” (26(1)).</p> <p>2. UAPPOL: The Policy Development Framework states that “[n]ewly developed or revised policy will...not overlap or contradict other policy[.]”</p> <p>3. GFC Executive Committee Terms of Reference (Mandate): “Matters which are routine in carrying out the policies approved by General Faculties Council are delegated to the Executive Committee.” (3.2. (Routine Matters))</p>
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Routing (Include meeting dates)

<p>Consultative Route (parties who have seen the proposal and in what capacity)</p>	<p>University Governance; Discussion with Joan White, Associate Dean, Faculty of Business; Discussion with the Portfolio Initiatives Manager, Office of the Provost and Vice-President (Academic), and the Manager, Policy Standards Office, Risk Management Services</p>
<p>Approval Route (Governance) (including meeting dates)</p>	<p>GFC Executive Committee (September 8, 2014) – for final approval</p>
<p>Final Approver</p>	<p>GFC Executive Committee</p>

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

1. Attachment 1 (page 1) – Section 24 of the GFC Policy Manual

Prepared by: Garry Bodnar, Director of General Faculties Council Services and Secretary to GFC, University Governance, garry.bodnar@ualberta.ca

GFC Policy Manual

24. Business Faculty

(GFC 29 SEP 1975)
(GFC 01 MAR 1982)
(GFC 28 JUN 1982)
(EXEC 06 FEB 1984)
(GFC 18 JUN 1984)
(GFC 27 OCT 1986)
(EXEC 10 NOV 1986)
(GFC 14 JUN 1994)
(GFC 06 FEB 1995)
(GFC 18 SEP 1995)
(GFC 04 NOV 1996)
(GFC 29 MAY 2000)
(EXEC 07 APR 2008)

24.5 Final Examinations, MBA and MPM Programs

GFC endorsed the Faculty of Business' request that final examinations in all evening courses in the MBA and MPM programs be scheduled into the week immediately following the last week of classes each term in order to allow for equal instructional hours in the full and part-time programs. (GFC 28 JUN 1982)

[**NOTE:** At its meeting of September 18, 1995, GFC approved a motion to terminate the MPM program.]



OUTLINE OF ISSUE

Agenda Title: **Faculty of Arts Selection and Reappointment/Review Procedures for Department Chairs and Directors of Interdisciplinary Programs**

Motion: THAT the GFC Executive Committee approve, under delegated authority from General Faculties Council and the Board of Governors, a proposal submitted by the Faculty of Arts for (proposed) Selection or Reappointment/Review Procedures for Department Chairs and Directors of Interdisciplinary Programs as set forth in Attachment 1, to take effect upon final approval.

Item

Action Requested	<input checked="" type="checkbox"/> Approval <input type="checkbox"/> Recommendation <input type="checkbox"/> Discussion/Advice <input type="checkbox"/> Information
Proposed by	Lesley Cormack, Dean, Faculty of Arts
Presenter	Lise Gotell, Vice-Dean, Faculty of Arts
Subject	Faculty of Arts Selection or Reappointment/Review Procedures for Department Chairs and Directors of Interdisciplinary Programs

Details

Responsibility	Faculty of Arts and Provost and Vice-President (Academic)
The Purpose of the Proposal is (please be specific)	To update the Faculty of Arts' selection and reappointment/review procedures to align with relevant UAPPOL and GFC policies and procedures. Specifically, this proposal serves to update procedures regarding the composition of selection and review committees; election of selection and review committee members; solicitation of applications; collection of personal information according to provisions of the Provincial <i>Freedom of Information and Protection of Privacy Act</i> (FOIPPA); advertising; and interviewing.
The Impact of the Proposal is	To streamline and make procedures more effective.
Replaces/Revises (eg, policies, resolutions)	Revises Selection or Reappointment/Review Procedures for Department Chairs and Directors of Interdisciplinary Programs in the Faculty of Arts, approved by Arts Faculty Council on November 25, 2004.
Timeline/Implementation Date	Upon final approval.
Estimated Cost	N/A
Sources of Funding	N/A
Notes	N/A

Alignment/Compliance

Alignment with Guiding Documents	<i>Dare to Discover</i> and <i>Dare to Deliver</i>
Compliance with Legislation, Policy and/or Procedure Relevant to the Proposal (please quote legislation and include identifying section numbers)	<p>UAPPOL <i>Department Chairs Selection Procedure</i> and UAPPOL <i>Department Chairs Review Procedure</i>; Academic Staff and Support Staff Agreements; and the UAPPOL <i>Recruitment Policy</i>, associated Procedures, and Appendices.</p> <p>1. Post-Secondary Learning Act (PSLA): The <i>PSLA</i> gives General Faculties Council (GFC) responsibility, subject to the authority of the Board of Governors, "over academic affairs" (Section 26(1)).</p> <p>The <i>Act</i> provides that "[a] person shall not be appointed to, promoted to or dismissed from any position on the academic staff at a university except on the recommendation of the president made in accordance with procedures approved by the general faculties council (section 22(2)). In</p>



	<p>addition, GFC may recommend to the Board of Governors on procedures in respect of appointments, promotions, salaries, tenure and dismissals of academic staff” (Section 26(1)(o)).</p> <p>2. Post-Secondary Learning Act (PSLA): The Board of Governors has authority to employ “officers, employees or other persons and academic staff members” (Sections 83 and 84 of the <i>Act</i>) and to appoint the President, Vice-Presidents, Deans and Registrar (Sections 81, 82, 21(1) and 20(1) of the <i>Act</i>). The Board has delegated certain of these powers.</p> <p>3. UAPPOL Policy: The <i>Department Chairs Selection and Review Procedures</i> state “With respect to the procedures for the selection[/review] of Department Chairs, the Board and GFC delegate their approval authority to the GFC Executive Committee for all matters of a routine editorial nature. For matters of a substantive nature, the GFC Executive Committee shall recommend to the Board Human Resources and Compensation Committee (BHRCC). The Provost and Vice-President (Academic) will determine what is of a routine/editorial or substantive nature.”</p> <p>[<u>Note:</u> The Provost and Vice-President (Academic) is of the view the changes proposed by the Faculty of Arts, as contained in this proposal, are “of a routine editorial nature.”]</p>
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Routing (Include meeting dates)

Consultative Route (parties who have seen the proposal and in what capacity)	Faculty of Arts Chair Selection/Review Procedures Subcommittee – revisions; Faculty of Arts Chairs’ Council – consultation; University Governance – consultation; Office of the Provost and Vice-President (Academic) – November 22, 2012 and August 25, 2014
Approval Route (Governance) (including meeting dates)	Faculty of Arts Executive Committee (May 3, 2012) – for recommendation; Faculty of Arts Council (May 17, 2012) – for recommendation; GFC Executive Committee (September 8, 2014) – for final approval
Final Approver	GFC Executive Committee

Attachments:

- Attachment 1 (pages 1 – 24): Proposed Selection or Reappointment/Review Procedures for Department Chairs and Directors of Interdisciplinary Programs in the Faculty of Arts.

Prepared by: Jan Zielinski, Governance Coordinator, Faculty of Arts, jan.zielinski@ualberta.ca, 780-492-6176.

Selection or Reappointment/Review Procedures for Department Chairs and Directors of Interdisciplinary Programs in the Faculty of Arts

(Approved by Arts Faculty Council on 25 November 2004)

(Proposed Changes Approved by Arts Faculty Council on 17 May 2012)

6-33 Humanities Centre
Edmonton, Alberta, Canada T6G 2E5
Tel: 780.492.ARTS
Fax: 780.492.7251
www.arts.ualberta.ca

CURRENT	PROPOSED
<p>Selection or Reappointment/Review Procedures for Department Chairs</p> <p>Overview</p> <p>This document provides a guide to policy and procedures regarding the selection or review/reappointment of Department Chairs in the Faculty of Arts. It should be noted that the process for any Chair's term served beyond two terms is selection. To be absolutely clear, a Chair may be reviewed in anticipation of a second term, but there must be a full search for a third or fourth term, or any term beyond that.</p> <p>As noted in GFC 103.1.3 (June 1980), Department Chairs will be considered for reappointment by review if this form of reappointment is consistent with the term of their original appointment. As well, GFC 103.1.4 states that "... conditions of employment and criteria for future evaluation of the person selected must be specified fully at the time of the appointment if these differ from statutory duties or standard expectations. Acceptance of an appointment is taken as indicating full acceptance of the procedures and criteria to be used at the end of the term. The letter of appointment is binding on both the Board and the person being appointed."</p>	<p>Selection or Reappointment/Review Procedures for Department Chairs</p> <p>Overview</p> <p>This document provides a guide to policy and procedures regarding the selection or review/reappointment of Department Chairs in the Faculty of Arts. It should be noted that the process for any Chair's term served beyond two terms is selection. To be absolutely clear, a Chair may be reviewed in anticipation of a second term, but there must be a full search for a third or fourth term, or any term beyond that.</p> <p>As noted in the "<u>Selection of Department Chairs Procedure</u>" section of <u>University of Alberta Policies and Procedures Online (UAPPOL)</u>, Department Chairs will be considered for reappointment by review if this form of reappointment is consistent with the term of their original appointment. As well, <u>UAPPOL</u> states that "... conditions of employment and criteria for future evaluation of the person selected must be specified fully at the time of the appointment if these differ from statutory duties or standard expectations. Acceptance of an appointment is taken as indicating full acceptance of the procedures and criteria to be used at the end of the term. The letter of appointment is binding on both the Board and the person being appointed."</p>

The incumbent Department Chair will be considered for reappointment only when, in the opinion of the Review Committee, such reappointment is the consensus of opinion in the various department constituencies. **GFC 103.3.3** states that “the specifics of appraising the performance of an incumbent Chair with a view to reappointment fall within the jurisdiction of the review or selection committee. The review should be largely based on an evaluation of the individual's administrative performance. However, it should also be based upon the belief that teaching and research **work** are continuing commitments of all academics, whether or not they occupy administrative positions. While it is expected that a Chair remain active in at least one of these areas, the extent of such participation will be greatly influenced by the administrative needs of the specific Department or Faculty.”

At the appropriate time (normally August, but at least six months prior to the end of the incumbent’s term) the Dean will begin to establish Chair Selection or Review Committees for those departments with incumbent Chairs whose terms of office will end on June 30 of the following year. If a review of an existing Department Chair is carried out, the decision must be reached no later than two months after the formation of the Review Committee.

Composition of Chair Selection and Review Committees

The Board of Governors, by virtue of Section **58(1)(c) of the Universities Act**, has delegated its power of appointment in the case of both selection and review of Department Chairs to selection/review committees composed of the following voting members:

- Dean of Arts, or designee, Chair;
- Dean of the Faculty of Graduate Studies and Research, or designee;
- Provost and Vice-President (Academic), or designee;

The incumbent Department Chair will be considered for reappointment only when, in the opinion of the Review Committee, such reappointment is the consensus of opinion in the various department constituencies. In accordance with the **UAPPOL Review of Department Chairs Procedure**, “the specifics of appraising the performance of an incumbent Chair with a view to reappointment fall within the jurisdiction of the review or selection committee. The review should be largely based on an evaluation of the individual's administrative performance. However, it should also be based upon the belief that teaching and research are continuing commitments of all academics, whether or not they occupy administrative positions. While it is expected that a Chair remain active in at least one of these areas, the extent of such participation will be greatly influenced by the administrative needs of the specific Department or Faculty.”

At the appropriate time (normally August, but at least six months prior to the end of the incumbent’s term) the Dean will begin to establish Chair Selection or Review Committees for those departments with incumbent Chairs whose terms of office will end on June 30 of the following year. If a review of an existing Department Chair is carried out, the decision must be reached no later than two months after the formation of the Review Committee.

Composition of Chair Selection and Review Committees

The Board of Governors, by virtue of **Sections 62, 83, 84 and 22(2) of the Post-Secondary Learning Act**, has delegated its power of appointment in the case of both selection and review of Department Chairs to selection/review committees composed of the following voting members:

- Dean of Arts, or designee, Chair;
- Dean of the Faculty of Graduate Studies and Research, or designee;
- Provost and Vice-President (Academic), or designee;
- One member elected by General Faculties Council;

- One member elected by General Faculties Council;
- Three (3) faculty members from the Department concerned, elected from among its continuing academic staff members (from Categories A1.1, A1.5, or their counterparts in A1.6);
- One full-time continuing member of the support staff (Category B1.0) from the Department concerned;
- One graduate student;
- One undergraduate student.

Note: Although the APO category, which typically carries major administrative functions, is excluded from the GFC-defined Chair Selection/Review Committee structure, the selection process for departments who have an APO member should normally include this individual, through extensive and continuing consultation and/or by invitation to attend Selection/Review Committee meetings, as appropriate, as a non-voting member.

- Three (3) faculty members from the Department concerned, elected from among its continuing academic staff members (from Categories A1.1, A1.6, or their counterparts in A1.5 and A1.7);
- One full-time continuing member of the support staff (Category S1.0 and S2.0) from the Department concerned;
- One graduate student from the Department concerned;
- One undergraduate student from the Department concerned.

Note: Although the APO category, which typically carries major administrative functions, is excluded from the UAPPOL-defined Chair Selection/Review Committee structure, the selection process for departments who have an APO member should normally include this individual, through extensive and continuing consultation and/or by invitation to attend Selection/Review Committee meetings, as appropriate, as a non-voting member.

Faculty members cannot serve as representatives on selection and review committees for Deans and Department Chairs if they are on leave during the time the committee will meet. (UAPPOL)

The term 'leave' includes: administrative leave, sabbatical, political, medical, parental, childbirth, disability, assisted, secondment. (UAPPOL)

The Provost and Vice-President (Academic) may approve exceptions to this regulation and may consult with the GFC Executive. (UAPPOL)

Composition of Selection and Review Committees – Special Cases

Department of Psychology

Both the Deans of Arts and Science shall serve on the Selection Committee for the Chair of the Department of Psychology, with the Dean of Arts in the Chair. ~~(GFC 26 OCT 1981)~~ (BG 04 DEC 1981).

Small Departments

For Departments with fewer than six faculty members, two of the three department academic staff will be replaced by two faculty members elected by Arts Faculty Council.

Departments with six to ten faculty members, inclusive

For Departments with six to ten faculty members, one of the three department academic staff will be replaced by one (1) faculty member elected by Arts Faculty Council.

Changes in Committee Composition

In the event that the majority of the statutory members of a selection committee, or the Dean, is of the opinion that divisions within the Department are such that the normal composition of the committee is inappropriate, the statutory members, or the Dean, shall recommend to the Provost and Vice-President (Academic) that a committee with a different composition be established. The Provost and Vice-President (Academic) is authorized to establish a revised composition of the committee, bearing in mind the principles underlying the normal composition. ~~(GFC 103.2.1)~~

Composition of Selection and Review Committees – Special Cases

Department of Psychology

Both the Deans of Arts and Science shall serve on the Selection Committee for the Chair of the Department of Psychology, with the Dean of Arts in the Chair (BG 04 DEC 1981) ~~(UAPPOL)~~.

Departments with ten or fewer faculty members

For Departments with ten or fewer faculty members, one of the three department academic staff may at the discretion of the Dean, be replaced by one (1) faculty member elected by Arts Faculty procedures.

Changes in Committee Composition

In the event that the majority of the statutory members of a selection committee, or the Dean, is of the opinion that divisions within the Department are such that the normal composition of the committee is inappropriate, the statutory members, or the Dean, shall recommend to the Provost and Vice-President (Academic) that a committee with a different composition be established. The Provost and Vice-President (Academic) is authorized to establish a revised composition of the committee, bearing in mind the principles underlying the normal composition ~~(UAPPOL)~~.

Procedures for Electing Department Representatives to Chair Selection and Reappointment/Review Committees

Election of Continuing Academic Staff Members

The three approved procedures for the election of the Department faculty representatives are:

1. The Dean (or designee) approves the election procedures proposed by the Department.
2. The Dean (or designee) chairs a special meeting of the Department.
3. The Dean (or designee) arranges for a secret ballot.

The Department will recommend to the Dean which procedure it wishes to use.

All faculty members of the Department, including those on leave, are eligible to vote in this election.

Declared candidates for Chair may not be elected to the Selection Committee, but they should be included in the electorate.

Once members have been elected to a review committee, the Provost may name one additional full-time faculty member (Categories A1.1 and A1.6) to the review committee to ensure broad representation across the Faculty. The Provost shall consult with the Chair or the Vice-Chair of the GFC Nominating Committee. (EXEC 14 JUN 2004) (BEAC 23 JUN 2004 e-mail vote) (UAPPOL).

Procedures for Electing Department Representatives to Chair Selection and Reappointment/Review Committees

Election of Continuing Academic Staff Members

The three approved procedures for the election of the Department faculty representatives are:

1. The Dean (or designee) approves the election procedures proposed by the Department.
2. The Dean (or designee) chairs a special meeting of the Department.
3. The Dean (or designee) arranges for a secret ballot.

The Department will recommend to the Dean which procedure it wishes to use.

All faculty members¹ of the Department, including those on leave, are eligible to vote in this election.

Declared candidates for Chair may not be elected to the Selection Committee, but they should be included in the electorate.

¹ Refers to BOARD AAS:UA continuing faculty only.

1. **The Dean approves election procedures proposed by the Department.**

Suggested procedures

An announcement should be circulated in the department of the forthcoming election including a list of all those eligible to stand as candidates for election as departmental representatives to the Selection or Review Committee. All continuing faculty are eligible to serve on the Selection/ Review Committee except the incumbent Chair and staff on leave. Please note that no other faculty member of the Department shall be excluded from the eligibility list without the Dean's written approval.

A ballot containing all eligible academic staff should be drawn up and distributed to all faculty members of the Department. No faculty member of the Department shall be excluded from voting in this election. Declared candidates may not be elected to the committee, but they should be included in the electorate.

Faculty members of the Department will be asked to circle up to three names and to return the ballot to the Department Office within a date approximately two weeks after the date of circulation.

When the deadline for receipt of ballots is reached, the three persons who have obtained the largest number of votes will be declared the departmental representatives to the Selection/Review Committee. The next two individuals, in order of the number of votes received, will serve as alternates should an elected member become unable to serve.

In the case of the review of a Department Chair, the incumbent shall not be eligible to vote in the election of departmental representatives to serve on the review committee. (UAPPOL)

1. **The Dean approves election procedures proposed by the Department.**

Suggested procedures

The department should agree on the procedure. The procedure must be transparent. It must include a secret ballot.

2. **The Dean (or designee) chairs a special meeting of the Department.**

Continuing faculty of the Department shall meet to elect three representatives. All continuing faculty are eligible to serve on the Selection/Review Committee except the incumbent Chair and staff on leave during the time the committee will meet (GFC EXEC 17 June 2003). (Please note that exceptions to this rule must receive approval from the Provost and Vice-President (Academic.) ~~In this election balloting shall proceed until one person in each rank receives a majority of the votes cast for that position. The person receiving the next highest number of votes in each rank shall be the alternate.~~

3. **The Dean arranges for a secret ballot.**

A first ballot is distributed to all continuing faculty members, including those on leave. The ballot will contain the names of faculty members in the Department, excluding those who, as of the date of the ballot, have written to the Dean to declare their candidacy for the Chair or who are on leave, and who may therefore choose not to stand. Faculty will be invited to vote for up to three faculty members.

After the first ballot has been counted, if a second ballot is necessary to break a tie or if any of the top three candidates fail to receive 50% of the votes cast, it will be distributed to all continuing faculty members. It will contain the names of the five candidates for election who obtained the most votes on the first ballot. The three candidates who receive the most votes on the second ballot will be declared elected as departmental representatives to the Selection/Review Committee, and the remaining two, in order of the number of votes received, will serve as alternates should an elected member become unable to serve.

2. **The Dean (or designee) chairs a special meeting of the Department.**

Continuing faculty of the Department shall meet to elect three representatives. All continuing faculty are eligible to serve on the Selection/Review Committee except the incumbent Chair and staff on leave during the time the committee will meet (UAPPOL). (Please note that exceptions to this rule must receive approval from the Provost and Vice-President (Academic.) The three nominees (or two in the case of small departments) receiving the highest number of votes will be declared elected. The nominee receiving the next highest number of votes shall serve as alternate should any elected member become unable to serve.

3. **The Dean arranges for a secret ballot.**

An email ballot listing eligible candidates for the departmental representatives on the Chair Selection/Review Committee, excluding those who, as of the date of the ballot, have written to the Chair of the Selection Committee to declare their candidacy for Chair, will be distributed by email from a designated staff member to all continuing departmental faculty members, including those faculty members who are on leave. Faculty members will then print a ballot and their top three candidates and mark their ballots appropriately. Within a specified period of time (normally one week from the distribution of the ballot), the faculty member may either hand his or her ballot to the department-designated staff member in person, or the faculty member may email the completed ballot to the staff member, who will keep track of which faculty members have voted. The ballots are then printed and collated and given to another administrative staff member to tally. That staff member will then make the results known to the faculty members. If a second ballot is necessary to break a tie, it will be distributed to all continuing faculty members (as above) and will contain

Staff on leave will be included in the electorate. The Department Office will mail ballots to the addresses they have on record, and a period of three weeks from the date of mailing will be allowed for their return.

Faculty members cannot serve as representatives on selection and review committees for Deans and Department Chairs if they are on leave during the time the committee will meet. (GFC EXEC 17 JUN 2002)

The term 'leave' includes: administrative leave, sabbatical, political, medical, parental, childbirth, disability, assisted, secondment. (GFC EXEC 18 November 1996)

The Provost and Vice President (Academic) may approve exceptions to this regulation and may consult with the GFC Executive. (GFC EXEC 17 JUN 2002)

Election of one full-time continuing member of the support staff

The Dean's Office shall be responsible for directing the election of one full-time continuing member of the support staff (Category B1.0), elected by the full-time support staff of the department concerned.

Election of one graduate student

All Departments that enroll graduate students must include a graduate student on their Department Chair Selection or Review Committees, as selected by the Department Graduate Student Association by whatever means the Association deems suitable. Once a student is selected, the name and contact information of that student must be forwarded to the Department Office (which will inform the Dean's Office) and Graduate Students' Association. If the Department Graduate Student Association is unable to find a graduate student, or if there is no Department Graduate Student Association, then the Graduate Students' Association will be

the names of the five candidates for election who obtained the most votes on the first ballot. The three candidates who receive the most votes on the second ballot will be declared elected as departmental representatives to the Selection/Review Committee, and the remaining two, in order of the number of votes received, will serve as alternates should an elected member become unable to serve.

Election of one full-time continuing member of the support staff

The Dean's Office shall be responsible for directing the election of one full-time continuing member of the support staff (Category S1.0 and S2.0), elected by the full-time support staff of the department concerned.

Election of one graduate student

All Departments that enroll graduate students must include a graduate student on their Department Chair Selection or Review Committees, as selected by the Department Graduate Student Association by whatever means the Association deems suitable. Once a student is selected, the name and contact information of that student must be forwarded to the Department Office (which will inform the Dean's Office) and Graduate Students' Association. If the Department Graduate Student Association is unable to find a graduate student, or if there is no Department Graduate Student Association, then the Graduate Students' Association will be

responsible for the selection of the graduate student representative from the Department. If the Department enrolls fewer than ten (10) graduate students, the department may request permission to waive graduate student representation from the Provost and Vice-President (Academic). *(GFC 24 SEP 2001)* *(BEAC 23 OCT 2001)*

Election of one undergraduate student

All Departments that enroll undergraduate students must include one undergraduate student on their Department Chair Selection or Review Committees, as selected by the appropriate Department Student Association using whatever method the Association deems suitable. If the Department Student Association does not exist, then the appropriate Faculty Student Association will be responsible for selecting the undergraduate student from the Department, normally a student with an interest in the Department by virtue of his or her declared program.

Once selected, the name and contact information of the student representative must be forwarded by the appropriate Department or Faculty Student Association to the Department Office (which will inform the Dean's Office), and the Students' Union.

If the Department Student Association (or the student Faculty Association) is unable to find an undergraduate student, the Students' Union will be responsible for the selection of the undergraduate representative from the Department. *(GFC 24 SEP 2001)* *(BEAC 23 OCT 2001)*

APO Involvement

Although GFC does not provide for APO membership on Chair Review/Selection Committees, in a department which has an APO this process should normally include this individual as extensively as possible. As a career department administrator, the Department APO provides a very

responsible for the selection of the graduate student representative from the Department. If the Department enrolls fewer than ten (10) graduate students, the department may request permission to waive graduate student representation from the Provost and Vice-President (Academic). *(BEAC 23 OCT 2001)* *(UAPPOL)*

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Once selected, the name and contact information of the student representative must be forwarded by the appropriate Department or Faculty Student Association to the Department Office (which will inform the Dean's Office), and the Students' Union.

If the Department Student Association (or the student Faculty Association) is unable to find an undergraduate student, the Students' Union will be responsible for the selection of the undergraduate representative from the Department. *(BEAC 23 OCT 2001)* *(UAPPOL)*

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Although GFC does not provide for APO membership on Chair Review/Selection Committees, in a department which has an APO this process should normally include this individual as extensively as possible. As a career department administrator, the Department APO provides a very

valuable resource with respect to the department's administrative structure and can also provide insight regarding the role of the Chair as the department's chief administrator.

Chair Selection Procedures

A selection committee is charged with the task of obtaining the best person available for the position. In order to do so, it may have to play an active, rather than a passive, role in the process. (GFC 103.2.2)

Upon establishment of the Chair Selection Committee, the Dean will invite all Department members to (a) contact the Selection Committee with their views regarding the Department, (b) nominate candidates from the Department, and (c) offer themselves as candidates.

Once candidates are known, Department members will be invited to a forum to meet the candidates, with the Selection Committee in attendance as non-participating observers. Department members will then be invited to write to the Selection Committee with their views on the candidate(s). The Dean will stress anonymity; however, department members are provided with the option of having their letters kept anonymous (with only

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Upon establishment of the Chair Selection Committee, the Dean will invite all Department members to (a) contact the Selection Committee with their views regarding the Department, (b) nominate candidates from the Department, and (c) offer themselves as candidates.

In addition to accepting applications from qualified candidates, a Selection Committee may, if it sees fit, solicit applications. (UAPPOL)

All vacancies must be advertised within the University If a vacancy could, potentially, be filled by an appointee from outside the University, then the vacancy must be advertised in accordance with the Advertising of Faculty Vacancies Procedure. (UAPPOL)

In order to recognize the valuable insight this individual can provide, the Department administrator will be invited to meet with the Committee during the selection process.

Once short-listed candidates are known, all members of the Department will be invited to a forum to meet the candidates, with the Selection Committee in attendance. Department members will then be invited to write to the Selection Committee with their views on the candidate(s). The Dean will stress confidentiality; however, department members are provided with the option of having their letters kept confidential (with only

the Faculty of Arts administrator serving the Committee and the Dean (or designee) aware of the authorship of the correspondence and able to confirm its authenticity). In this instance, letters will be marked “anonymity requested and respected” and any identifying marks will be removed.

In order to recognize the valuable insight this individual can provide, the Department administrator will be invited to meet with the Committee during the selection process.

When the Selection Committee has reached a decision on the selection of a candidate, it will submit its recommendation to the Provost and Vice-President (Academic) who, on behalf of the Selection Committee, will formally advise the candidate.

The Dean will write to the members of the Department to advise them of the successful candidate.

Please note that GFC employment policies as set out in GFC Section 48.2.24c state the following: “In the event that a Department Chair or Dean selection committee recommends to the Board the appointment of a candidate from outside the University, that selection committee functions as the Advisory Selection Committee for the candidate's faculty

the Faculty of Arts administrator serving the Committee and the Dean (or designee) aware of the authorship of the correspondence and able to confirm its authenticity). In this instance, letters will be marked “confidentiality requested and respected” and any identifying marks will be removed.

All personal information shall be collected in accordance with the provisions of the Freedom of Information and Protection of Privacy Act.

The selection committee shall schedule an interview session with the candidate(s) before a decision is made.

In the case of an external candidate, a research presentation may also be required.

When the selection committee has made its decision, the Dean of the Faculty has the authority to accept or reject the committee's recommendation. If the Dean accepts the recommendation, the Dean offers the appointment to the candidate and, following the candidate's acceptance, advises the Provost and Vice-President (Academic). The Provost and Vice-President (Academic) formally advises the candidate on behalf of the University. (UAPPOL)

The Dean will write to the members of the Department to advise them of the successful candidate.

If the Dean does not accept the committee's recommendation, the Dean will explain his or her reasons to the committee, and the committee will then discuss whether another candidate should go forward or whether to terminate the search and begin again. (UAPPOL)

appointment as well as the candidate's Department Chair/Dean appointment...."

Chair Review/Reappointment Procedures

Once the Dean has ascertained that the Chair wishes to be considered for a second term, in accordance with *GFC 103.3.5* which states, "The incumbent shall be invited to submit an oral or written presentation, or both, concerning his or her performance," the Chair will be invited to present a public forum to which all members of the Department and University community with an interest in the discipline will be invited. At the public forum the incumbent will be asked to address accomplishments over the past term, as well as his or her vision for the future direction of the Program in the second term and thoughts on how to approach these objectives. At this time the incumbent will be advised that following the establishment of the Review Committee he or she will be asked to provide the Committee with a curriculum vitae and an outline of his or her presentation made at the public forum.

Please note that the *Academic Selection Procedure* section of *UAPPOL* states that in the case of the appointment of a Department Chair from outside the University, the selection committee established for the administrative position of Department Chair shall serve as both the selection committee in relation to the administrative appointment and the advisory selection committee in relation to the academic staff appointment. The appointment of a Department Chair from outside the University will be done in accordance with the Appointment of Faculty Procedure.

Chair Review for Reappointment Procedures

The process of review in anticipation of the end of a term is initiated by the Dean of the Faculty of Arts. The process must be initiated at least six (6) months prior to the end of the incumbent's term. If a review is carried out, the decision must be reached no later than two months after the formation of the committee. (*UAPPOL*)

Once the Dean has ascertained that the Chair wishes to be considered for a second term, in accordance with *UAPPOL*, the Chair will be invited to present a public forum to which all members of the Department will be invited. At the public forum the incumbent will be asked to address accomplishments over the past term, as well as his or her vision for the future direction of the Program in the second term and thoughts on how to approach these objectives

“The review committee shall obtain information about the effectiveness of the incumbent and the desirability of reappointment or continuation. As a minimum, the committee shall solicit submissions from the staff of the Department or Faculty in this regard” (GFC 103.3.5(i)). Upon establishment of the Chair Review Committee, the Dean will invite all Department members to submit confidential information to the Review Committee regarding the incumbent Chair’s performance during his or her term. GFC Section 103.3.5 states “All submissions shall be in writing and signed; the review committee shall make every effort to ensure confidentiality.” Department members are provided the option of having their letters kept anonymous (with only the Faculty of Arts administrator serving the Committee and Dean (or designate) aware of the authorship of the correspondence and able to confirm its authenticity. In this instance, letters will be marked “anonymity requested and respected” and any identifying marks will be removed.

The Incumbent will be asked to provide the Review Committee with a curriculum vitae and an outline of their presentation to the Committee, i.e. what the Chair has accomplished during his or her term and their vision for the next five years. This information is distributed to the Committee for their perusal prior to the meeting.

The Dean will then call a meeting of the Review Committee at which all confidential material will be distributed and reviewed by Committee members. Individuals who work closely with the Chair from outside or inside the Department (e.g., administrator(s), or individuals who have expressed an interest in meeting with the Committee) will discuss their views with the Committee. As well, other stakeholders or individuals requested by the incumbent or Committee may indicate their wish to meet with the Committee and they, too, are invited for interviews.

“The review committee shall obtain information about the effectiveness of the incumbent and the desirability of reappointment or continuation. At a minimum, the committee shall solicit submissions from the staff of the department in this regard (UAPPOL). “All submissions shall be addressed to the Dean in writing and signed; the review committee shall make every effort to ensure confidentiality (UAPPOL) department members are provided the option of having the authorship of their letters kept confidential from the larger committee.

All personal information shall be collected in accordance with the provisions of the Freedom of Information and Protection of Privacy Act.

The Incumbent will be asked to provide the Review Committee with a curriculum vitae and an outline of their presentation to the Forum, i.e. what the Chair has accomplished during his or her term and their vision for the upcoming term. This information is distributed to the Committee for their perusal prior to the meeting.

The Dean will then call a meeting of the Review Committee at which all confidential material will be distributed and reviewed by Committee members.

The candidate shall be invited for an interview session with the committee.

The Committee discusses all information and arrives at a decision. If the Review Committee has reached a positive decision on the candidate, the Dean will submit its recommendations, in writing, to the Provost and Vice-President (Academic), with a copy to the incumbent.

Following the meeting, the Dean conveys the Committee's recommendation to the incumbent. At this point the Dean may wish to inform the Chair of any specific issues that the incumbent may need to address during his or her second term.

If the review has a negative outcome, the Dean will follow procedures laid out in GFC 103.3.5(B). The Review Committee will then reconvene as the Selection Committee.

General Information

Quorum

No more than one member of a Selection or Review Committee shall be absent from any meeting at which a final decision is made.

Advertising

Advertisement in *Folio* and such other publications as the Search/Selection Committee deems desirable. When a Selection Committee decides that an administrative position can be filled by a colleague already in the academic

The Committee discusses all information and arrives at a decision. If the Review Committee has reached a positive decision on the candidate, and the Dean approves that decision, the Dean offers the reappointment to the incumbent and, following the incumbent's acceptance, advises the Provost and Vice-President (Academic). The Provost and Vice-President (Academic) formally advises the candidate on behalf of the University. (UAPPOL)

Following the decision meeting of the Review Committee, the Dean conveys the Committee's recommendation to the incumbent. At this point the Dean may wish to inform the Chair of any specific issues that the incumbent may need to address during his or her second or subsequent term.

If the review has a negative outcome, the Dean will follow procedures laid out in UAPPOL. The Review Committee will then reconvene as the Selection Committee.

General Information

Quorum

No more than one member of a Selection or Review Committee shall be absent from any meeting at which a final decision is made.

unit it may proceed to do so without advertising the position, except in *Folio*.

GFC Web Site

Please refer to the GFC Policy Manual (<http://www.governance.ualberta.ca>) for detailed information about Selection and Review Committees.

Selection or Reappointment/Review Procedures for Directors of Interdisciplinary Programs

This section provides a guide to Faculty policy and procedures regarding the selection or reappointment of Directors of Interdisciplinary Programs in the Faculty of Arts.

The Faculty of Arts recognizes the important administrative responsibility associated with service as Director of an interdisciplinary program. To this end, where possible, the Faculty uses procedures established for the selection and reappointment of Department Chairs.

Program Directors appointed in the Faculty of Arts will be appointed for an initial term not to exceed five years with renewal by review for one additional term before search and selection procedures are invoked. The letter of appointment must specify whether reappointment will be by selection or review. Acceptance of an appointment is taken to indicate full acceptance of the procedures and criteria to be used at the end of the

UAPPOL Site

Please refer to the UAPPOL Policy Manual for detailed information about Selection and Review Committees

- [UAPPOL Department Chairs Selection Procedure](#)
- [UAPPOL Department Chairs Review Procedure](#)

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This section provides a guide to Faculty policy and procedures regarding the selection or reappointment of Directors of Interdisciplinary Programs in the Faculty of Arts.

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term.

The process of selection or review at the end of a term is initiated by the Associate Dean responsible for interdisciplinary programs at least nine months prior to the end of the incumbent's term. If a review is to be carried out, the decision must be reached no later than two months after the formation of the Review Committee.

Composition of Director Selection and Review Committees

The Dean of Arts has delegated power of appointment in the case of both selection and review of Directors of Interdisciplinary Programs to selection/review committees composed of the following voting members:

- Associate Dean responsible for Interdisciplinary programs, Chair;
- Dean of the Faculty of Graduate Studies and Research, or designee, when the program offers graduate degrees;
- Three (3) faculty members of the Advisory Council concerned, elected from among its continuing academic staff members (from Categories A1.1, A1.5, or their counterparts in A1.6), regardless of the size of the Council;
- One graduate student from the program, if applicable;
- One undergraduate student from the program, if applicable;
- One sessional instructor elected from among sessional instructors appointed to teach in the program or, with Advisory Council approval, teaching courses that count toward the program's degree(s).

Please note: Provision exists for electing one full-time continuing member of the support staff² (Category B1.0) from the Office of Interdisciplinary Studies should staff numbers increase.

Procedures for Electing Advisory Council Representatives to Director Selection and Reappointment/Review Committees

term.

The process of selection or review at the end of a term is initiated by the Dean at least six (6) months prior to the end of the incumbent's term. If a review is to be carried out, the decision must be reached no later than two months after the formation of the Review Committee.

Composition of Director Selection and Review Committees

The Dean of Arts has delegated power of appointment in the case of both selection and review of Directors of Interdisciplinary Programs to selection/review committees composed of the following voting members:

- Dean of the Faculty of Arts, or designee, Chair;
- Dean of the Faculty of Graduate Studies and Research, or designee, when the program offers graduate degrees;
- Three (3) faculty members of the Advisory Council concerned, elected from among its continuing academic staff members (from Categories A1.1, A1.6, or their counterparts in A1.5 and A1.7), regardless of the size of the Council;
- One graduate student from the program, if applicable;
- One undergraduate student from the program, if applicable;
- One full-time continuing member of the support staff (Category S1.0 and S2.0) from the Office of Interdisciplinary Studies.

Procedures for Electing Advisory Council Representatives to Director Selection and Reappointment/Review Committees

Election of Continuing¹ Academic Staff Members

The Faculty of Arts recognizes that because of the interdisciplinary nature of its programs and Advisory Councils, elected academic staff representatives may be members of other Faculties at the University of Alberta.

~~Two~~ approved procedures for the election of faculty from a Program's Advisory Council ~~are~~ that the ~~Associate~~ Dean (or designee) arranges for a secret ballot, ~~or chairs a special meeting of the Advisory Council.~~ ~~It is recommended that a secret ballot be used for this purpose, although the Advisory Council may choose to meet to elect its academic staff representatives.~~ Advisory Councils are discouraged from developing alternate procedures, which would require the approval of the Associate Dean responsible for interdisciplinary programs. ~~Suggested procedures:~~

~~1. — The Associate Dean arranges for a secret ballot.~~

~~A first ballot is distributed to all continuing faculty members of the Advisory Council, including those on leave. The ballot will contain the names of all faculty members of the Advisory Council, excluding those who, as of the date of the ballot, have written to the Associate Dean to declare their candidacy for Director, or who are on leave. Faculty members of the Advisory Council will be invited to vote for up to three of its academic members.~~

~~After the first ballot has been counted, if a second ballot is necessary to break a tie or if any of the top three candidates fail to receive 50% of the votes cast, it will be distributed to all continuing faculty members of the Advisory Council. It will contain the names of the five candidates for election who obtained the most votes on the first ballot. The three candidates who receive the most votes on the second ballot will be declared elected as departmental representatives to the Selection or Review Committee, and the remaining two, in order of the number of votes~~

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received, will serve as alternates should an elected member become unable to serve.

2. The Associate Dean (or designee) chairs a special meeting of the Advisory Council

Continuing faculty of the Advisory Council shall meet to elect three representatives. All continuing faculty members of the Council are eligible to serve on the Selection Committee except the incumbent Director and staff on leave during the time the committee will meet. Please note that exceptions to this rule must receive approval from the Dean of Arts. In this election balloting shall proceed until three people receive a majority of the votes cast for these positions. The next two individuals, in order of the number of votes received, will serve as alternates should an elected member become unable to serve.

The Advisory Council will recommend to the Associate Dean which procedure it wishes to use.

Staff on leave will be included in the electorate. The Office of Interdisciplinary Studies will mail ballots to the addresses they have on record, and a period of three weeks from the date of mailing will be allowed for their return.

All faculty members of the Advisory Council, including those on leave, are eligible to vote in this election.

Declared candidates for Director may not be elected to the Selection Committee, but they should be included in the electorate. Faculty members should not serve as representatives on selection and review

Declared candidates for Director may not be elected to the Selection Committee, but they should be included in the electorate. Faculty members should not serve as representatives on selection and review committees for

committees for Program Directors if they are on leave during the time the committee will meet.

The term 'leave' includes: administrative leave, sabbatical, political, medical, parental, childbirth, disability, assisted, secondment. **(GFC EXEC 18 November 1996)**

Election of one graduate student

All Programs that enroll graduate students must include a graduate student on their Director Selection or Review Committees, selected by the graduate students in the program by whatever means the Advisory Council deems suitable. **Once a student is selected, the name and contact information of that student must be forwarded to the Office of Interdisciplinary Studies.** If the Advisory Council is unable to find a graduate student, the Advisory Council may request permission to waive graduate student representation from the Dean.

Election of one undergraduate student

All interdisciplinary programs that enroll undergraduate students must include one undergraduate student on their Director Selection or Review Committees, normally a student with an interest in the interdisciplinary program by virtue of his or her declared program. If a program student association does not exist, the Faculty of Arts Student Association will be responsible for selecting the undergraduate student from the Program. **Once selected, the name and contact information of the student representative must be forwarded to the Office of Interdisciplinary Studies.** If the Faculty Association is unable to find an undergraduate student, the Students' Union will be contacted to select the undergraduate representative from the Program.

Election of one sessional instructor

All eligible sessional instructors appointed to teach in an interdisciplinary

Program Directors if they are on leave during the time the committee will meet.

The term 'leave' includes: administrative leave, sabbatical, political, medical, parental, childbirth, disability, assisted, secondment. **(UAPPOL)**

Election of one graduate student

All Programs that enroll graduate students must include a graduate student on their Director Selection or Review Committees, selected by the graduate students in the program by whatever means the Advisory Council deems suitable. If the Advisory Council is unable to find a graduate student, the Advisory Council may request permission to waive graduate student representation from the Dean.

Election of one undergraduate student

All interdisciplinary programs that enroll undergraduate students must include one undergraduate student on their Director Selection or Review Committees, normally a student with an interest in the interdisciplinary program by virtue of his or her declared program. If a program student association does not exist, the Faculty of Arts Student Association will be responsible for selecting the undergraduate student from the Program. If the **Arts student** association is unable to find an undergraduate student, the Students' Union will be contacted to select the undergraduate representative from the Program.

program shall meet to elect one representative to serve on the Selection/Review Committee. The Advisory Council may, if it chooses, add Sessionals teaching courses that count toward the program's degree(s) to the electorate; they may then stand for election to the Selection/Review Committee as well.

Director Selection Procedures

A selection committee is charged with the task of obtaining the best person available for the position. In order to do so, it may have to play an active, rather than a passive, role in the process. (GFC 103.2.2)

Upon establishment of the Director Selection Committee, the Associate Dean will invite all members of the Program's Advisory Council to (a) contact the Selection Committee with their views regarding the Program, (b) nominate candidates from the Advisory Council, and (c) offer themselves as candidates.

Once candidates are known, Advisory Council members and other faculty and students involved in the Program will be invited to a forum to meet the candidates, with the Selection Committee in attendance as non-participating observers. Advisory Council members and other interested faculty and students involved in the Program will then be invited to write to the Selection Committee with their views on the candidate(s). The Associate Dean will stress confidentiality; however, members are provided with the option of having their letters kept anonymous (with only the administrator and the Associate Dean (or designate) aware of the legitimacy of the correspondence and able to confirm its credibility). In this instance, letters will be marked "anonymity requested and respected" and any identifying marks will be removed.

Director Selection Procedures

Upon establishment of the Director Selection Committee, the Chair will invite all members of the Program's Advisory Council to (a) contact the Selection Committee with their views regarding the Program, (b) nominate candidates, and (c) offer themselves as candidates.

Once short-listed candidates are known, Advisory Council members and other faculty and students involved in the Program will be invited to a forum to meet the candidates, with the Selection Committee in attendance as non-participating observers. Advisory Council members and other interested faculty and students involved in the Program will then be invited to write to the Selection Committee with their views on the candidate(s). The Committee Chair will stress confidentiality; however, members are provided with the option of having the authorship of their letters kept confidential.

All Personal information must be collected in accordance with the provisions of the Freedom of Information and Protection of Privacy Act

In order to recognize the valuable insight this individual can provide, the administrator responsible for the Office of Interdisciplinary Studies will be invited to meet with the Committee during the selection process.

When the Selection Committee has reached a decision on the selection of a candidate, it will submit its recommendation to the Dean ~~who, on behalf of the Selection Committee,~~ will **formally** advise the candidate.

The **Associate** Dean will write to the members of the Program and its Advisory Council to advise them of the successful candidate.

Director Review/Reappointment Procedures

After the **Associate** Dean has ascertained that the Director wishes to be considered for a second term, the incumbent will be invited to present a public forum to which all members of the Advisory Council and members of the University community with an interest in the program will be invited. At the public forum the incumbent will be asked to address accomplishments over the past term, as well as his or her vision for the future direction of the Program in **the second** term and thoughts on how to approach these objectives. ~~At this time the incumbent will be advised that following the establishment of the Review Committee he or she will be asked to provide the Committee with a curriculum vitae and an outline of their presentation made at the public forum.~~

(FOIPP).(UAPPOL)

In order to recognize the valuable insight this individual can provide, the administrator responsible for the Office of Interdisciplinary Studies will be invited to meet with the Committee during the selection process.

The selection committee shall schedule an interview session with the candidate(s) before a decision is made.

When the Selection Committee has reached a decision on the selection of a candidate, it will submit its recommendation to the Dean. **If the Dean accepts the recommendation, the Dean** will formally advise the candidate.

The Dean, **or designee**, will write to the members of the Program and its Advisory Council to advise them of the successful candidate.

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After the Dean, **or designee**, has ascertained that the Director wishes to be considered for a second term, the incumbent will be invited to present a public forum to which all members of the Advisory Council and members of the University community with an interest in the program will be invited. At the public forum the incumbent will be asked to address accomplishments over the past term, as well as his or her vision for the future direction of the Program in **a subsequent** term and thoughts on how to approach these objectives.

The specifics of appraising the performance of an incumbent Director under consideration for reappointment fall within the jurisdiction of the Review Committee. The emphasis of the review should be based on an evaluation of the Director's administrative performance.

Upon establishment of the Program Director Review Committee, the **Associate Dean** will invite all Advisory Council members to submit confidential information to the Review Committee regarding the incumbent Director's performance during his or her term. Members are provided with the option of having their letters kept **anonymous with only the Faculty of Arts administrator serving the Committee and Associate Dean (or designate) aware of the legitimacy of the correspondence and able to confirm its authenticity.** In this instance, letters will be marked **"anonymity requested and respected"** and any identifying marks will be removed.

The Incumbent will be asked to provide the Review Committee with a CV and an outline of their presentation to the **Committee, i.e. what the Director has accomplished during his or her term and their vision for the next term.** This information is distributed to the Committee for their perusal *prior* to the meeting.

The **Associate Dean** will then call a meeting of the Review Committee at which all confidential material will be distributed and reviewed by Committee members. **Individuals who work closely with the Director from outside or inside the Program (e.g., Administrator from the Office of Interdisciplinary Studies, or individuals who have expressed an interest in meeting with the Committee) will discuss their views with the Committee.** As well, other stakeholders or individuals requested by the incumbent or Committee may indicate their wish to meet with the Committee and they,

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The Incumbent will be asked to provide the Review Committee with a CV and an outline of their presentation to the **Forum.** This information is distributed to the Committee for their perusal *prior* to the meeting.

All personal information shall be collected in accordance with the provisions of the Freedom of Information and Protection of Privacy Act

The **Committee Chair** will then call a meeting of the Review Committee at which all confidential material will be distributed and reviewed by Committee members.

~~too, are invited for interviews.~~

The Committee discusses all information and arrives at a decision. If the Review Committee has reached a positive decision, the ~~Associate Dean~~ will submit its recommendations, in writing, to the Dean, ~~with a copy to the incumbent.~~

Following the meeting, the ~~Associate Dean~~ conveys the Committee's recommendation to the incumbent. At this point the ~~Associate~~ Dean may wish to inform the Director of any specific issues that the incumbent may need to address during his or her second term.

~~If the review has a negative outcome, the Associate Dean will advise the incumbent of the "preliminary decision" and select a time to meet to discuss the situation. Following this discussion the Associate Dean will invite the incumbent to make a submission in writing and/or appear before the Review Committee to introduce material not previously before the Committee and will also invite the incumbent to submit a list of persons who may have information of value to the Committee. The Committee, after sufficient discussion and upon reaching a final decision on the case, will submit its recommendations, in writing, to the Dean, with a copy to the incumbent. If the review has a negative outcome, the Review Committee will then reconvene as the Selection Committee.~~

General Information

Quorum

The candidate shall be invited for an interview with the Committee.

The Committee discusses all information and arrives at a decision. If the Review Committee has reached a positive decision, the Committee Chair will submit its recommendations, in writing, to the Dean.

If the Dean accepts the recommendation, the Committee Chair will convey that recommendation to the incumbent.

Following the meeting, the Dean, or designee conveys the Committee's recommendation to the incumbent. At this point the Dean may wish to inform the Director of any specific issues that the incumbent may need to address during his or her second term.

If the review has a negative outcome, the Selection Committee will reconvene.

General Information

Quorum

No more than one member of a Selection or Review Committee shall be absent from any meeting at which a final decision is made.

Advertising

~~Advertisement in Folio~~ and such other publications as the Search/Selection Committee deems desirable.

No more than one member of a Selection or Review Committee shall be absent from any meeting at which a final decision is made.

Advertising

Vacancies shall be advertised within the University and such other publications as the Search/Selection Committee deems desirable.