



Friday, April 21, 2017
Council Chamber
2:00 p.m. - 4:00 p.m.

OPENING SESSION

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| 1. Approval of the Agenda | David Turpin |
| 2. Approval of the Minutes of March 20, 2017 | David Turpin |
| 3. Report from the President (no documents) | David Turpin |

ACTION ITEMS

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| 4. New Members of GFC
[Note: A motion to appoint may be proposed only by a statutory member of GFC. A motion to receive may be proposed by any member of GFC.] | David Turpin |
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Motion 1: To Appoint New Members
Motion 2: To Receive New Members

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| 5. Negotiated (Proposed) Changes to the Contract Academic Staff: Teaching (CAS:T) Agreement | |
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Motion: To Recommend Board of Governors Approval

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| 6. Report and Recommendations of the Ad Hoc Committee on Academic Governance Including Delegated Authority | |
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- President Turpin will introduce and provide an overview.
- Chair Mark Loewen and Vice-Chair Steve Patten will introduce the item and provide an overview of the item.
- Open discussion at a high level of the initiative / plan / project.
- After a high level discussion, each motion will be discussed and voted on separately.

Motion 1: THAT the GFC Executive Committee recommends that General Faculties Council approves the following four key guiding documents as set forth in Attachment 1 to take effect upon approval:

- *GFC Principles for Delegation of Authority*
- *GFC Principles for Standing Committee Composition*
- *GFC Roles and Responsibilities of Members*
- *GFC Meeting Procedural Rules*
- Open discussion of the guiding documents; followed by the vote.

Motion II: THAT the GFC Executive Committee recommends that General Faculties Council endorses and approves in principle the Report of the Ad Hoc Committee on Academic Governance Including Delegated Authority and draft GFC Standing Committee Terms of Reference as set forth in Attachment 2;

- Open discussion of the report and recommendations; followed by the vote.

Motion III: THAT the GFC Executive Committee recommends that General Faculties Council endorses the transition process as outlined in the Report of the Ad Hoc Committee on Academic Governance Including Delegated Authority for implementation of the recommendations on or before April 30, 2019.

- Open discussion of the transition process; followed by the vote.

Motion IV: THAT General Faculties Council discharges, with thanks, the Ad Hoc Committee on Academic Governance Including Delegated Authority once the transition committee is established.

- Vote.

INFORMATION REPORTS

7. Report of the GFC Executive Committee
8. Report of the GFC Nominating Committee (no report at this time)

(The current list of membership vacancies may be viewed at:
<http://www.governance.ualberta.ca/GeneralFacultiesCouncil/NominatingCommittee.aspx>)

9. Information Forwarded to GFC Members Between Meetings (no items)

CLOSING SESSION

10. Next meeting date: June 5, 2017

David Turpin

Documentation was before members unless otherwise noted.

Meeting REGRETS to: Andrea Patrick, Assistant Secretary to GFC, apatrick@ualberta.ca
Prepared by: Meg Brolley, GFC Secretary and Manager of GFC Services
University Governance www.governance.ualberta.ca



For the Meeting of April 21, 2017

Item No. 4

ITEM 4 - New Members of GFC

MOTION I: TO APPOINT/REAPPOINT [This motion may be proposed only by statutory members of GFC – VPs, Deans, statutory students or elected faculty members]:

The following undergraduate student members elected by the Students' Union (SU) to the Board of Governors and appointed to GFC for terms that are concurrent with their terms on the Board (May 1, 2017 to April 30, 2018):

Marina Banister	President (SU)
Mike Sandare	Undergraduate Board of Governors Representative

The following graduate student member elected by the Graduate Students' Association (GSA) to the Board of Governors and appointed to GFC for a term that is concurrent with their term on the Board (May 1, 2017 to April 30, 2018):

Babak Soltannia	President, Graduate Students' Association
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MOTION II: TO RECEIVE [This motion may be proposed by any member of GFC]:

The following statutory undergraduate student members nominated by the Students' Union (SU) to serve on GFC for terms beginning May 1, 2017 and ending April 30, 2018:

Shane Scott	Vice-President (Academic), SU
Ilya Ushakov	Vice-President (Student Life), SU

The following statutory graduate student member nominated by the Graduate Students' Association (GSA) to serve on GFC for a term beginning May 1, 2017 and ending April 30, 2018:

Firouz Khodayari	Vice-President (Academic), GSA
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The following undergraduate student representatives, to serve on GFC for terms beginning May 1, 2017 and ending April 30, 2018:

Steven Lin Ziyu Yang	Agricultural, Life and Environmental Sciences
Robert Bilak Meijun Chen Jonah Dunch Srosh Hassan Monica Lillo Kyle Monda Sean Oliver LJ Valencia	Arts
Connor Palindat	Business
James Thibaudeau	Education
Dannish Hamid Mahmoud Kenawi Katelynn Nguyen Eddie Wang	Engineering
Delane Howie	Faculté Saint-Jean
Brandon Christensen	Medicine and Dentistry
Abigail Bridarolli	Nursing
Alex Kwan	Pharmacy and Pharmaceutical Sciences
Darren Choi Genna DiPinto Habba Mahal Anthony Nguyen Smit Patel	Science



The following *ex officio* member, to serve on GFC for a term of office beginning July 1, 2017 and extending for the duration of her appointment:

Greta Cummings Dean of the Faculty of Nursing

The following *ex officio* member, to serve on GFC for a term of office beginning July 1, 2017 and extending for the duration of her appointment:

Jennifer Tupper Dean of the Faculty of Education

OUTLINE OF ISSUE
Action Item

Agenda Title: **Negotiated (Proposed) Changes to the Contract Academic Staff: Teaching (CAS:T) Agreement**

Motion: THAT General Faculties Council recommends that the Board of Governors approve the proposed changes to the appointment, promotion, salaries, tenure and dismissals elements of the Contract Academic Staff: Teaching Agreement, to be known henceforth as the Academic Teaching Staff Agreement, as ratified by AASUA membership and as set forth in Attachment 2, to take effect July 1, 2017.

Item

Action Requested	<input type="checkbox"/> Approval <input checked="" type="checkbox"/> Recommendation
Proposed by	Steven Dew, Provost and Vice-President (Academic)
Presenter	Steven Dew, Provost and Vice-President (Academic) Michelle Strong, Vice-Provost & Director, Faculty & Staff Relations Donna Herman, Special Advisor, Faculty & Staff Relations

Details

Responsibility	Provost and Vice-President (Academic)
The Purpose of the Proposal is (please be specific)	An Agreement Review Committee comprised of members from Administration and the AASUA has been working together to review and revise the Contract Academic Staff: Teaching (CAS:T) Agreement. The changes to the Agreement are presented in the attached side-by-side document.
The Impact of the Proposal is	To aid in the recruitment and retention of Teaching Staff
Replaces/Revises (eg, policies, resolutions)	Amendments to the CAS:T Agreement and renaming to the Academic Teaching Staff Agreement
Timeline/Implementation Date	Amendments are effective July 1, 2017
Estimated Cost and funding source	Cost neutral. Any related compensation matters would be dealt with at comprehensive bargaining.
Next Steps (ie.: Communications Plan, Implementation plans)	AASUA Town Hall Faculty and Staff Relations Information Sessions
Supplementary Notes and context	In April, 2014, the Board provided Administration with a mandate to develop an academic performance evaluation and career progression model which would demonstrate the University's commitment to a teaching-intensive career path within the CAS:T Agreement. Furthermore, in order to address a key concern of the CAS:T constituency, the mandate provided the ability to establish greater position security, by adopting a "contingent" appointment option for CAS:T Agreement staff members, and a range of appointment options more in keeping with the work done and working conditions experienced by CAS:T staff. <u>Administration ARC Members</u> Donna Herman, Faculty & Staff Relations, Chair Charles Lucy, Professor in Chemistry Lise Warick, Human Resource Services Susan Buchsdruecker, Faculty & Staff Relations

Engagement and Routing (Include meeting dates)

<p>Participation: (parties who have seen the proposal and in what capacity)</p> <p><For further information see the link posted on the Governance Toolkit section Student Participation Protocol></p>	<p><u><i>Those who have been informed:</i></u></p> <ul style="list-style-type: none"> • Agreement Review Committee • General Counsel and Field LLP • Steven Dew, Provost • PEC-O (March 23, 2017)
	<p><u><i>Those who have been consulted:</i></u></p> <ul style="list-style-type: none"> • Agreement Review Committee • Administrators of Faculties and Departments • General Counsel and Field LLP • Steven Dew, Provost
	<p><u><i>Those who are actively participating:</i></u></p> <ul style="list-style-type: none"> • Agreement Review Committee
<p>Approval Route (Governance) (including meeting dates)</p>	<p>PEC-O (March 23, 2017) Statutory Deans' Council (April 5, 2017) PACC (April 18, 2017) GFC Executive Committee (April 10, 2017) General Faculties Council (April 21, 2017) BHRCC (May 30, 2017)</p>
<p>Final Approver</p>	<p>Board of Governors (June 23, 2017)</p>

Alignment/Compliance

<p>Alignment with Guiding Documents</p>	<p>Institutional Strategic Plan – <i>For the Public Good</i>, Comprehensive Institutional Plan, Institutional values</p>
<p>Compliance with Legislation, Policy and/or Procedure Relevant to the Proposal (please <u>quote</u> legislation and include identifying section numbers)</p>	<p>The <i>Post-Secondary Learning Act</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 Board has authority to employ officers, employees and academic staff (sections 83 and 84 of the <i>Act</i>)</p> <p>84 (3) A board shall, subject to any existing agreement,</p> <p>(a) determine the remuneration of academic staff members,</p> <p>(b) prescribe the duties of academic staff members, and</p> <p>(c) prescribe the term of employment and the terms and conditions of employment of academic staff members.</p> <p>GFC has authority to approve procedures relating to the appointment, promotion and dismissal of academic staff (section 22(2)). In 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>22(2) 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.</p> <p>26(1) (o) make recommendations to the board with respect to affiliation with other institutions, academic planning, campus planning, a building program, the budget, the regulation of residences and dining halls, procedures in respect of appointments, promotions, salaries, tenure and dismissals, and any other matters considered by the general faculties council to be of interest to the</p>

	<p>university;</p> <p><u>BHRCC Terms of Reference, Section 3.a. states:</u></p> <p><i>Without limiting the generality of the foregoing the Committee shall:</i></p> <p><i>(a) consider and propose changes in collective agreements and confirm the mandate for negotiating committees with all bargaining units;</i></p>
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1. Attachment 1: Issue Brief – New Academic Teaching Staff Agreement (pages 1 - 2)
2. Attachment 2: Side-by-Side CAS:T Agreement Amended to ATS Agreement (pages 1 – 55)
3. Attachment 3: Title Page, Table of Contents and Appendices (pages 1-19)

Prepared by: Donna Herman, Special Advisor, Faculty and Staff Relations, donna.herman@ualberta.ca

Academic Teaching Staff (ATS) Agreement to replace Contract Academic Staff: Teaching (CAS:T) Agreement:

An Agreement Review Committee (ARC) comprising members from Administration and the AASUA has been working together to consider revisions to the Contract Academic Staff: Teaching (CAS:T) Agreement. In April, 2014, the Board provided Administration with a mandate to:

- (1) Develop a University-wide academic performance evaluation and career progression model which would demonstrate the University’s commitment to a teaching-intensive career path within the CAS:T Agreement; and
- (2) Establish greater position security by adopting a “contingent” appointment option for CAS:T Agreement staff members.

The work of the ARC has now brought us to the completion of the new Agreement and below are highlights of the ATS Agreement (in contrast to the CAS:T Agreement that it will replace). Following Board and GFC Approval and AASUA ratification, the new Agreement will be implemented on July 1, 2017.

Several Faculties have already adopted a Teaching Intensive Model under CAS:T with multi-year fixed or rolling terms (Arts, Business, FoMD – Dentistry, Nursing, Pharmacy, Physical Ed & Rec, Rehab Medicine, and Science). These Faculties will now be able to transition to the ATS Agreements, utilizing the appointment categories outlined. There will be no ability to hire into rolling terms but that job security is maintained and enhanced through the introduction of the “contingent” appointment option.

ACADEMIC TEACHING STAFF (ATS) AGREEMENT	
Definitions/ Article/Appendix	Change
1.15 Senior Officer	- Definition of administrators who have authority under the Agreement, and when read in conjunction with 4.3 (Delegation) clarifies the delegation of responsibilities.
1.16 Staff Member	- This is a more descriptive definition of staff members who fall under the Agreement and broadens the funding sources that can be used.
6. APPOINTMENTS	<ul style="list-style-type: none"> - Each Faculty/Department will develop position profiles that describe the teaching workload and other University responsibilities. - This Agreement establishes ranks and standards (Full Lecturer, Associate Lecturer, Assistant Lecturer and Instructor) with working titles continuing to be Faculty-specific or with the option of using the ranks as the working titles. - Provides the ability to hire into a full or part-time Term or Term Recurring appointment to a maximum of 6 years in length where lay-off provision continues to apply for contracts greater than 12 months with 3 months’ notice plus 1 month severance for each year of service to a maximum of 9 months; <u>OR INTO</u> - Provides the ability to hire into a full or part-time Career Status appointment where the contract does not specify an end date but is subject to termination as a result of: (1) duties of the position profile are no longer required; or (2) the position profile has changed and the staff member no longer has the qualifications required to carry out the responsibilities; or (3) The funding for the appointment is insufficient or is no longer available. The Appointee will receive no less than 12 months’ notice of termination. - Administration has committed to developing University-wide guidelines regarding: (1) procedures outlining the conversion of a Term appointment to a Term Recurring or Career Status appointment and (2) factors which determine when funding for a Career Status appointment is no longer

	<p>available.</p> <ul style="list-style-type: none"> - Provides more clarity regarding recruitment, advertising and “first consideration” of current staff for appointments.
7. RESPONSIBILITIES TO THE UNIVERSITY	<ul style="list-style-type: none"> - Language more specifically tailored to this Agreement and encompassing teaching and teaching-related responsibilities.
8. SUPPLEMENTARY PROFESSIONAL ACTIVITY	<ul style="list-style-type: none"> - Language more specifically tailored to this Agreement. Applies to full-time staff members only with Career Status or with a Term Status appointment of 12 months or greater.
9. PROBATIONARY PERIOD	<ul style="list-style-type: none"> - Establishment of probationary periods for Career Status and Fixed Term Status appointments for a term greater than 24 months.
10. EVALUATION	<ul style="list-style-type: none"> - Establishment of ATS Evaluation Committees (ATSEC) in each Faculty with a minimum expectation that ATSEC will develop, for the approval of the Provost, evaluation policies and procedures, position profiles, position expectations, standards of performance for each rank and criteria for recommendations regarding probation and promotion. - Staff members with Career Status will be evaluated by ATSEC. - Each ATSEC will determine whether staff members with Term Status will be evaluated by the Department Chair (or Dean in non-departmentalized Faculties) or by ATSEC. - Staff members with Instructor Status will be evaluated by the Department Chair (or Dean in non-departmentalized Faculties). - Provides more clarity regarding increment eligibility and increment recommendations.
11. UNSATISFACTORY AND UNACCEPTABLE PERFORMANCE	<ul style="list-style-type: none"> - Language derived from Faculty Agreement to address performance issues.
12. NOTICE PERIOD AND LAY-OFF	<ul style="list-style-type: none"> - No change from current provisions for staff members with Term Status where lay-off provision applies for contracts greater than 12 months – 3 months’ notice plus 1 month severance for each year of service to a maximum of 9 months. - Introduction of contingent clause from Faculty Agreement for staff members with Career Status (12 months’ notice of termination).
24. COPYRIGHT APPENDIX F	<ul style="list-style-type: none"> - Inclusion of newly ratified Copyright language and Appendix.
APPENDIX A	<ul style="list-style-type: none"> - Table summarizing appointment types and characteristics of each.
APPENDIX B	<ul style="list-style-type: none"> - New Appointment Letter.
APPENDIX C	<ul style="list-style-type: none"> - Details of Library Privileges, including on-line off-campus access to licensed online library content.
APPENDIX E	<ul style="list-style-type: none"> - Salary and Benefit Schedules to remain the same (including those unique Faculty salary schedules), subject to compensation negotiations.
APPENDIX H	<ul style="list-style-type: none"> - Detailed procedures to be developed, for use University-wide, on Evaluation and Promotion, through the joint Interpretation Committee established in Appendix I.
APPENDIX I	<ul style="list-style-type: none"> - Implementation of a standing joint Interpretation Committee to deal with monitoring, reviewing and updating language for the first two years of implementation of the new Agreement.

AASUA CAS:T ARC Team

Don Perkins, English and Film Studies (Chair)
Melanie Meardi, Faculty Lecturer, Nursing
Kelly MacFarlane, Faculty Lecturer, History and Classics
Brygeda Renke, AASUA

Administration CAS:T ARC Team

Donna Herman, Faculty and Staff Relations (Chair)
Susan Buchsdruecker, Faculty and Staff Relations
Lise Warick, Human Resource Services
Charles Lucy, Professor, Chemistry

			employee with duties associated with advising under academic agreements.
1.02	“Agreement” means this Agreement.	1.3	“Agreement” means this Agreement.
1.03	“Association” means the Association of the Academic Staff of the University of Alberta.	1.4	“Association” means the Association of the Academic Staff of the University of Alberta.
1.04	“Board” means the Governors of the University of Alberta.	1.5	“Board” means the Governors of the University of Alberta.
1.05	“Day” or “Days” means Monday through Friday, but does not include a day when the University buildings are closed. Reference in this Agreement to week, month and year shall refer to the calendar period.	1.6	“Day” or “Days” means Monday through Friday, but does not include a day when the University buildings are closed. Reference in this Agreement to week, month and year shall refer to the calendar period.
1.06	“Dean” means the chief executive officer of a Faculty.	1.7	“Dean” means a University employee who “has general supervision over and direction of the academic work and instructional staff of the Faculty and of the officers and employees employed in connection with that work, and has the other powers, duties and functions that are assigned to the dean by the president” pursuant to Section 21(2) of the <i>Post-Secondary Learning Act</i> (Alberta).
		1.8	“Delegation” means an authorization in writing to perform a task or tasks required by this Agreement.
1.07	“Department” means the academic unit of a Faculty, established as such by the Board.	1.9	“Department” means the academic unit of a Faculty, established as such by the Board.
1.08	“Department Chair” means the chief executive officer of a Department. Responsibilities assigned herein to a Department Chair shall be the responsibility of the Dean in Faculties in which there are no departments.	1.10	“Department Chair” means the administrative head of a Department reporting to the Dean. Responsibilities assigned in this Agreement to a Department Chair shall be the responsibility of the Dean in Faculties in which there are no Departments.
1.09	“Faculty” means the academic unit of the University established as such by the Board.	1.11	“Faculty” means the academic unit of the University established as such by the Board of Governors pursuant to Section 19(e) of the <i>Post-Secondary Learning Act</i> (Alberta).
1.10	“Faculty Council” means the council created by that name in accordance with section 28(2) of the <u>Post Secondary Learning Act</u> ; for the purposes of this Agreement voting on decisions required by this Agreement shall be restricted to the academic staff members in the Faculty.	1.12	“Faculty Council” means the council created by that name pursuant to Section 28(2) of the <i>Post-Secondary Learning Act</i> (Alberta); for the purposes of this Agreement voting on decisions required by this Agreement shall be restricted to the academic staff members in the Faculty.
1.11	“President” means the President of the University.	1.13	“President” means the President and Vice Chancellor of the University.
1.12	“Provost” means the Provost and Vice President (Academic) of the University.	1.14	“Provost” means the Provost and Vice President (Academic) of the University. The Provost is also the Chief Operating Officer and Senior Vice

<p>1.13 “Staff member” means a person who has been appointed to a position on the academic staff of the University for a fixed term. “Staff member” includes all the categories enumerated in clause 6.03. Consistent with the Board Resolution of Recognition Appendix A, “staff member” shall include, but is not limited to, athletic coaches, persons engaged in curriculum coordination and development, practicum supervisors, distance and web-based course design and delivery.</p> <p style="text-align: center;">Appendix A: Board Resolution of Recognition</p> <p>THAT, in accordance with the provisions of Section 60(2)(a) of the <u>Post Secondary Learning Act</u>, the Board of Governors designates the following categories of employees as academic staff:</p> <ol style="list-style-type: none"> 1. Those employees who have been employed for a fixed term of not less than four months where such employment is considered by the University to be <u>full-time</u> during that term and where the duties in such employment are to teach or to perform managerial/professional duties similar to those carried out by APOs, Librarians or FSOs. 2. Those employees who have been employed for a fixed term where such employment is considered by the University to be part-time during that term, and where the duties in such employment are to teach or to perform managerial/ professional duties similar to those carried out by APOs, Librarians or FSOs and provided further that: <ol style="list-style-type: none"> a) where duties consist of teaching, such teaching services shall comprise a minimum responsibility for a 3-credit course (or the equivalent thereof), and b) where the employment is to perform managerial/professional duties, such services shall be for a minimum of fourteen hours per week and the employment must be for at least four months. 3. The source of funding for the employment under categories 1 and 2, above, shall be the regular University operating budget/accounts or from funds controlled/generated by the University (other than research grant/contract funds). 	<p>President.</p> <p>1.15 “Senior Officer” means a University employee appointed under the Faculty Agreement who has also been appointed to an administrative position including Vice-Provost, Deputy Provost, Vice-Dean, Associate Dean or Department Chair.</p> <p>1.16 “Staff member” means a person who has been appointed under this Agreement to a position with teaching and/or teaching-related responsibilities (in accordance with Article 7.3) on the academic staff of the University (where teaching shall involve University credit courses) and where the funding source permits payment of such responsibilities.</p>
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<p>1.14 The following abbreviations are used in this Agreement:</p> <ul style="list-style-type: none"> a) ARC means the Agreement Review Committee created in 5.01 and 5.03, b) GFC means the General Faculties Council of the University. <p>1.15 “University” means University of Alberta.</p>	<p>1.17 The following abbreviations are used in this Agreement:</p> <ul style="list-style-type: none"> a) ARC means the Agreement Review Committee created in Article 5; b) GFC means the General Faculties Council of the University; and c) ATS Evaluation Committee or ATSEC means the Academic Teaching Staff Evaluation Committee established in Article 10. <p>1.18 “University” means the University of Alberta.</p>
<p style="text-align: center;">Article 2: Application</p> <p>2.01 This Agreement shall remain in effect and be binding upon the Board, the Association, and each staff member in accordance with its terms, subject only to amendment as herein provided.</p> <p>2.02.1 The University of Alberta is committed to the pursuit of truth, the advancement of learning, and the dissemination of knowledge.</p> <p>2.02.2 The University expects each staff member to engage in these endeavours.</p> <p>2.02.3 The parties to this agreement subscribe to the principles of academic freedom, that is, the right to examine, to question, to teach, to learn, to investigate, to speculate, to comment, to criticize without deference to prescribed doctrine. Academic freedom does not confer legal immunity; nor does it diminish the obligation of members to meet their responsibilities to the University as set out in Article 8 (University responsibilities).</p> <p>2.02.4 Members have the right to publish the results of their research without interference or censorship by the institution or its agents.</p>	<p style="text-align: center;">Article 2: Application</p> <p>2.1 This Agreement shall remain in effect and be binding upon the Board, the Association, and each staff member in accordance with its terms, subject only to amendment as herein provided.</p> <p>2.2 The University is committed to the pursuit of truth, the advancement of learning, and the dissemination of knowledge.</p> <p>2.3 The University expects each staff member to engage in these endeavors.</p> <p>2.4 The Parties to this Agreement subscribe to the principles of academic freedom, that is, the right to examine, to question, to teach, to learn, to investigate, to speculate, to comment, to criticize without deference to prescribed doctrine. Academic freedom does not confer legal immunity; nor does it diminish the obligation of staff members to meet their responsibilities to the University as set out in Article 7 (Responsibilities to the University).</p> <p>2.5 Staff members have the right to publish the results of their research without interference or censorship by the institution or its agents.</p>
<p>Right to Access</p> <p>2.03 A staff member shall have access, with reasonable notice, to the records of all personal information pertaining to the staff member, except:</p> <ul style="list-style-type: none"> a) confidential evaluations regarding the staff member’s application for employment; b) confidential evaluations regarding career decisions about a staff member which are made in accordance with the procedures of Articles 12 and 13. 	<p>Right to Access</p> <p>2.6 A staff member shall have access, with reasonable notice, to the records of all personal information pertaining to the staff member, except:</p> <ul style="list-style-type: none"> a) confidential evaluations regarding the staff member’s application for employment; b) confidential evaluations regarding career decisions about a staff member which are made in accordance with the procedures of

<p>c) to portions of the record that would not be released under the provisions of the Freedom of Information and Protection of Privacy Act.</p> <p>2.04 The staff member may request of the custodian of files that the staff member be permitted to examine the staff member’s personal files in that office. Such examination shall be during working hours. During the examination, the staff member shall be accompanied by the custodian, or delegate. The staff member shall not remove the file from the office, and subject to 2.05, shall not change anything in the file.</p> <p>Right to Correct Information</p> <p>2.05.1 A staff member may request that information in a record pertaining to the staff member be corrected.</p> <p>2.05.2 If the information in the record is opinion, the staff member may submit an annotation which shall be linked to a record. If a request that information in a record be corrected is not accepted, the staff member may submit an annotation which shall be linked to the record.</p> <p>Article 3: Association Recognition</p> <p>3.01 In accordance with the provisions of 60(2) of the <u>Post Secondary Learning Act</u>, a staff member becomes a member of the academic staff, and a member of the Association.</p> <p>Appendix A: Board Resolution of Recognition</p> <p>4. Notwithstanding the generality of the foregoing, the following persons shall <u>not</u> be included in categories 1 and 2, above:</p> <ul style="list-style-type: none"> a) persons who report directly to the President or to a Vice-President; b) persons who carry out teaching or managerial/professional responsibilities under the terms of either the NASA or GSA collective agreements; c) persons who carry out teaching duties in non-credit courses; d) part-time persons who are practising physicians, dentists or lawyers; e) persons who do not receive University remuneration for the services performed; and f) persons whose part-time responsibilities to the University are less than the minimum established under categories 1 and 2, above. 	<p>Articles 12 and 13.</p> <p>c) to portions of the record that would not be released under the provisions of the Freedom of Information and Protection of Privacy Act.</p> <p>2.7 The staff member may request of the custodian of files that the staff member be permitted to examine the staff member’s personal files in that office. Such examination shall be during working hours. During the examination, the staff member shall be accompanied by the custodian, or delegate. The staff member shall not remove the file from the office, and subject to 2.05, shall not change anything in the file.</p> <p>Right to Correct Information</p> <p>2.8 A staff member may request that information in a record pertaining to the staff member be corrected.</p> <p>2.9 If the information in the record is opinion, the staff member may submit an annotation which shall be linked to a record. If a request that information in a record be corrected is not accepted, the staff member may submit an annotation which shall be linked to the record.</p> <p>Article 3: Association Recognition</p> <p>3.1 In accordance with the provisions of 60(2) of the <i>Post-Secondary Learning Act (Alberta)</i>, a staff member shall become a member of the academic staff, and a member of the Association, on the date of appointment.</p> <p>3.2 The Parties to this Agreement agree that the following persons shall not be included as a staff member and a member of the Association:</p> <ul style="list-style-type: none"> a) Persons whose appointment is full-time or part-time for an appointment period of less than 4 months; b) Persons where duties consist of teaching less than the equivalent of a three-credit course or where duties are teaching-related for a commitment of less than 14 hours per week; c) Persons who carry out teaching and/or teaching-related responsibilities under the terms of either the non-academic staff or graduate student collective agreements; d) Persons who carry out teaching and/or
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<p>3.02 Association dues shall be deducted from the staff member’s salary cheque and shall be remitted to the Association.</p> <p>3.03 A staff member may, annually in writing, request the appropriate University Officer to remit amounts otherwise payable as Association dues to a program which is related to and administered by the University. The specific cause shall be selected from time to time by the executive of the Association and the Provost.</p>	<p>teaching-related responsibilities in non-credit courses;</p> <p>e) Persons who report directly to the President or a Vice-President;</p> <p>f) Persons who are part-time and who are practising physicians, dentists or lawyers; and/or</p> <p>g) Persons who do not receive University remuneration for the services performed.</p> <p>3.3 Association dues shall be deducted from the staff member’s salary cheque and shall be remitted to the Association.</p> <p>3.4 A staff member may, annually in writing, request the appropriate University officer to remit amounts otherwise payable as Association dues to a program which is related to and administered by the University. The specific cause shall be selected from time to time by the executive of the Association and the Provost.</p>
<p>Article 4: Delegation</p>	<p>Article 4: Delegation</p>
<p>4.01 The Board confirms delegation of its powers, duties and functions for the performance of its responsibilities contemplated by the terms of this Agreement (with the power to sub delegate as set out in this Article), including responsibilities assigned to a person or committee pursuant to:</p> <ul style="list-style-type: none"> a) Article 6 - Appointments b) Article 7 - Renewal of Appointment c) Article 12 - Evaluation d) Article 13 - Discipline e) Article 14 - Investigation of Complaints f) Article 27 - Layoff 	<p>4.1 The Board confirms delegation of its powers, duties and functions for the performance of its responsibilities contemplated by the terms of this Agreement (with the power to sub-delegate as set out in this Article), including responsibilities assigned to a person or committee pursuant to:</p> <ul style="list-style-type: none"> a) Article 6 – Appointments – delegation to the Dean; b) Article 9 – Probationary Period – delegation to the Department Chair and Dean; c) Article 10 – Evaluation – delegation to the Department Chair, ATSEC and Dean; d) Article 11 – Unsatisfactory and Unacceptable Performance – delegation to the Department Chair, ATSEC, Dean and Provost e) Article 12 – Notice Period and Layoff – delegation to the Department Chair and Dean; f) Article 13 – Complaints – delegation to the Department Chair, Dean, Provost and ATS Appeals Committee.
<p>4.02 The authority of any party described in Article 4 to delegate responsibilities under this Article includes the authority to revoke those delegated</p>	<p>4.2 The authority of any party described in this Article to delegate responsibilities under this Article includes the authority to revoke those</p>

<p>responsibilities and to exercise those responsibilities directly. The revocation of a delegated responsibility does not nullify decisions, order, directions or recommendations made at the time the delegation of responsibilities remained in effect.</p> <p>4.03.1 A senior officer of the University (including a chair, a Dean, and the Provost) may delegate to another officer of the University or to a staff member any of the responsibilities assigned in this agreement to the senior officer, subject to approval in writing by the officer to whom the senior officer reports.</p> <p>4.03.2 “Acting” when referring to an officer of the University (President, Vice-President, Dean, Department Chair or other officer) means a person designated to act for the officer during the officer’s absence; the person who is acting shall have the same authority and responsibility during appointment as the officer has under the terms of this Agreement.</p> <p>4.04 The President of the Association may delegate any responsibility to another member of the executive of the Association or the Executive Director of the Association.</p> <p>4.05 A Faculty Council may recommend, and the Provost may approve, delegation of any responsibility of a Faculty Council under this Agreement to such persons or groups designated by the Faculty Council.</p> <p>4.06 All delegations of responsibility and revocations of delegation under this article shall be in writing.</p> <p>4.07 If, in this Agreement, a decision is to be made by the Association, the decision shall be made by the President of the Association subject to such restriction as the Association, acting in accordance with its bylaws, may determine. Any policy which restricts the ability of the President of the Association to act shall be communicated in writing to the Provost.</p>	<p>delegated responsibilities and to exercise those responsibilities directly. The revocation of a delegated responsibility does not nullify decisions, orders, directions or recommendations made at the time the delegation of responsibilities remained in effect.</p> <p>4.3 Any of the responsibilities of a Senior Officer under this Agreement may be delegated to another Senior Officer subject to approval in writing by the:</p> <ul style="list-style-type: none"> a) Dean if those responsibilities are assigned to a Vice-Dean, Associate Dean, Department Chair or ATSEC; b) Provost if those responsibilities are assigned to a Dean; and c) President of the University if those responsibilities are assigned to the Provost. <p>4.4 The President of the Association may delegate any responsibility to another member of the executive of the Association or the Executive Director of the Association.</p> <p>4.5 A Faculty Council may recommend, and the Provost may approve, delegation of any responsibility of a Faculty Council under this Agreement to such persons or groups designated by the Faculty Council.</p> <p>4.6 All delegations of responsibility and revocations of delegation under this Article shall be in writing.</p> <p>4.7 If, in this Agreement, a decision is to be made by the Association, the decision shall be made by the President of the Association subject to such restriction as the Association, acting in accordance with its bylaws, may determine. Any policy which restricts the ability of the President of the Association to act shall be communicated in writing to the Provost.</p>
<p>Article 5: Agreement Review and Amending Procedures</p> <p>5.01 There shall be an ARC which shall consider amendments to the Agreement and to the Appendices thereto except for those parts of the Agreement which are amended in accordance with the provisions of Article 16.</p> <p>5.02 ARC shall also:</p>	<p>Article 5: Agreement Review and Amending Procedures</p> <p>5.1 There shall be an Agreement Review Committee (ARC) which shall consider amendments to this Agreement and to the Appendices thereto except for those parts of the Agreement which are amended in accordance with the provisions of Article 17 (Compensation Negotiations).</p> <p>5.2 ARC shall also:</p>

<p>a) consider and reach agreement on interpretations to this Agreement (Article 25);</p> <p>b) serve as a joint reference body for consideration of matters which affect the contracts of staff members.</p>	<p>a) Consider and reach agreement on interpretations to this Agreement (Article 26); and</p> <p>b) Serve as a joint reference body for consideration of matters which affect the contracts of staff members.</p>
<p>5.03 ARC shall consist of four members appointed by the Board and four members appointed by the Association. The Board and the Association may vary their members from time to time and for particular matters under consideration. Each party shall inform the other in writing of the names of its appointed members and of changes thereto.</p>	<p>5.3 ARC shall consist of 4 members appointed by the Board and 4 members appointed by the Association. The Board and the Association may vary their members from time to time and for particular matters under consideration. Each Party shall inform the other in writing of the names of its appointed members and of changes thereto.</p>
<p>5.04 The Board and the Association shall each have one vote on ARC.</p>	<p>5.4 The Board and the Association shall each have one vote on ARC.</p>
<p>5.05 Matters referred to ARC under 5.02(b) may be brought forward by the Provost or by the President of the Association.</p>	<p>5.5 Matters referred to ARC in accordance with Article 5.02(b) may be brought forward by the Provost or by the President of the Association.</p>
<p>5.06 Both the Board members and the Association members of ARC may use the services of such consultants and resource persons as they may see fit and such persons may be invited to attend meetings of ARC.</p>	<p>5.6 Both the Board members and the Association members of ARC may use the services of such consultants and resource persons as they may see fit and such persons may be invited to attend meetings of ARC.</p>
<p>5.07 ARC shall meet as frequently as necessary to consider any amendments proposed by either the Board members or the Association members or by other bodies or persons.</p>	<p>5.7 ARC shall meet as frequently as necessary to consider any amendments proposed by either the Board members or the Association members or by other bodies or persons.</p>
<p>5.08 Amendments to the Agreement (excluding Appendices) which are agreed to by ARC shall be referred to each of the Board and the Association for ratification. Upon ratification by both parties or upon a date specified in the ratification, such amendments shall amend this Agreement and such amendments shall be applicable to all staff members.</p>	<p>5.8 Amendments to this Agreement (excluding Appendices) which are agreed to by ARC shall be referred to each of the Board and the Association for ratification. Upon ratification by both Parties or upon a date specified in the ratification, such amendments shall amend this Agreement and such amendments shall be applicable to all staff members.</p>
<p>5.09 In the event that either the Board or the Association fails to ratify an amendment either party may request that ARC be reconvened to attempt to resolve the matter.</p>	<p>5.9 In the event that either the Board or the Association fails to ratify an amendment either Party may request that ARC be reconvened to attempt to resolve the matter.</p>
<p>5.10 Where ARC does not approve a proposed amendment or where no ratification of an amendment proposed by ARC occurs, the status quo shall prevail.</p>	<p>5.10 Where ARC does not approve a proposed amendment or where no ratification of an amendment proposed by ARC occurs, the status quo shall prevail.</p>
<p>5.11 ARC is authorized to approve amendments to Appendices without ratification by the Board and the Association and such amendments shall take effect on the date specified by ARC.</p>	<p>5.11 ARC is authorized to approve amendments to Appendices without ratification by the Board and the Association and such amendments shall take effect on the date specified by ARC.</p>

<p>5.12 Notwithstanding the foregoing, where pursuant to section 22(2) of the <u>Post Secondary Learning Act</u>, policies have been approved upon recommendation of GFC for various aspects of the terms and conditions of employment of staff members, any amendments affecting such policies shall also be submitted to GFC for approval.</p> <p>5.13 Decisions reached by ARC shall be binding on the Board and the Association and on individual staff members. When this Agreement so requires, or if either party so requests, decisions of ARC shall be subject to ratification by the party so requesting.</p>	<p>5.12 Notwithstanding the foregoing, where pursuant to section 22(2) the <i>Post-Secondary Learning Act</i> (Alberta), policies have been approved upon recommendation of GFC for various aspects of the terms and conditions of employment of staff members, any amendments affecting such policies shall also be submitted to GFC for approval.</p> <p>5.13 Decisions reached by ARC shall be binding on the Board and the Association and on individual staff members. When this Agreement so requires, or if either party so requests, decisions of ARC shall be subject to ratification by the Party so requesting.</p>
<p style="text-align: center;">Article 6: Appointments</p>	<p style="text-align: center;">Article 6: Appointments</p>
<p>6.01.1 The appointment of a staff member shall be made by the Dean.</p>	<p>(Refer to Appendix A which provides a Summary for ease of use of Articles 6, 8, 9 and 10)</p>
<p>6.01.2 A letter of appointment, following the example in Appendix B, duly executed by the Dean and the staff member, shall confirm the appointment of a staff member.</p>	<p>6.1 In this Article, the following definitions shall be used:</p>
<p>6.01.3 The appointment of a staff member shall commence on the date set in the duly executed letter of appointment.</p>	<p>a) A staff member shall receive an appointment through a Letter of Appointment in accordance with 6.2 and the appointment shall be specified either as full-time or as part-time (with the appropriate full-time equivalent indicated);</p>
<p>6.02 The parties to this Agreement agree that, where relevant, persons holding doctoral level qualifications or the equivalent professional qualifications shall receive preferential consideration in making appointments.</p>	<p>b) A staff member's appointment shall be to a position;</p>
<p>6.03.1 The appointment of a staff member shall be for the term stated in the letter of appointment to a position in one of the following categories:</p> <p>a) full-time instructional appointments which shall include full-time limited term appointments for 4 months or longer and shall include rolling term appointments.</p> <p>b) part-time instructional appointments which shall include appointments to teach one or more three-credit courses or equivalent, but are not full-time.</p>	<p>c) The general duties of the position shall be set out in a position profile which shall be attached to the Letter of Appointment and which:</p> <p>i. Shall be subject to change in accordance with Article 10.12;</p> <p>ii. Shall establish the necessary professional and educational qualifications required for the position;</p> <p>iii. Shall include a description of the workload with respect to course assignments; and</p>
<p>6.03.2 Each Faculty shall advise the Association and the Provost in writing as to the Faculty definition of what constitutes a full-time teaching appointment under this Agreement in each unit. The definition shall be sufficiently specific to permit the effective interpretation and application of the Agreement.</p>	<p>iv. Shall include other teaching and/or teaching-related responsibilities and duties as assigned by the Department Chair such as supervisory and administrative responsibilities; and</p>
<p>6.03A The following articles shall not apply to staff members appointed to Special Registrations:</p>	<p>v. May include responsibilities related to research and other scholarly activities and service.</p>

<ul style="list-style-type: none"> a. Articles 6.08 (Posting of Vacancies) through 6.11 (Cancellation or Reassignment of Courses) inclusive. b. Articles 17.05.1 through 17.05.03 (Increments) inclusive. c. Articles 18.05 (Vacation), 18.06 and 18.07 (Pensions) and 18.08, 18.09 and 18.10 (Benefits). d. Articles 21.01 through 21.09 (Childbirth Leave) inclusive. e. Article 7 (Renewal of Appointment). f. Article 12 (Evaluation). g. Article 27 (Layoff). 	<ul style="list-style-type: none"> d) The contract status of Career or Term or Instructor in accordance with Article 6.5 of a staff member's appointment shall be stated in the Letter of Appointment; e) The staff member shall be appointed to a rank in accordance with Article 6.7; and f) The staff member may be appointed with a probationary period in accordance with Article 9. <p>6.2 A Letter of Appointment to a full-time or part-time position, following the template outlined in Appendix B and duly executed by the Dean and the staff member, shall confirm the appointment of a staff member.</p> <p>6.3 The appointment of a staff member shall commence on the date set in the duly executed Letter of Appointment, in accordance with Article 6.2.</p> <p>6.4 A staff member who is appointed to multiple part-time positions should advise each Department Chair of their other University position(s) in order for the staff member and the Department Chairs to coordinate the workload assignment and potential Benefits (Article 19) for the staff member.</p> <p>Contract Status</p> <p>6.5 The appointment of a staff member shall be with the contract status of:</p> <ul style="list-style-type: none"> a) Career Status – where the appointment to a full-time or part-time position does not include an appointment period (or a specific end date) but is subject to termination in accordance with Article 12. b) Term Status – where the appointment to a position is for a defined appointment period (with a specific end-date) and will be categorized as one of the following: <ul style="list-style-type: none"> i. Term 12 – where the appointment is to a full-time or part-time position for an appointment period of 12 months to a maximum of 6 years; that is, the Letter of Appointment will include a defined appointment period of 12 months to a maximum of 6 years; ii. Term 8R (Recurring Term) – where the appointment is to a full-time position ONLY for an appointment period from 24 months to a maximum of 6 years,
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BUT where the staff member's full-time workload occurs in 8, 9, 10 or 11 months within each year of the appointment period and the inactive period will be the remainder of the months within each year; that is, the Letter of Appointment will include a defined appointment period from 24 months to a maximum of 6 years but will also include the start and end dates of the full-time workload and the start and end dates of the inactive period (period of leave without pay) within each year;

iii. Term 8 – where the appointment is to a full-time or part-time position for a period of 8 months to a maximum of less than 12 months; that is, the Letter of Appointment will include a defined appointment period of 8 months to a maximum of less than 12 months.

c) Instructor Status – where the appointment is to a full-time position for an appointment period of less than 8 months or to a part-time position for an appointment period of less than 12 months.

6.6 For Term Status appointments:

- a) The appointment of a staff member shall end on the date stipulated in the Letter of Appointment without the need for further notice or severance from the University;
- b) A staff member may receive subsequent appointment(s) with Term Status, each to a maximum appointment period of 6 years, or may receive a subsequent appointment with Career Status;
- c) The appointment of a staff member with Term 12 status shall include provisions for layoff in accordance with Article 12.

Ranks

6.7 In accordance with Article 10.12 (b), a staff member shall be appointed to a position at the rank of:

- a) Full Lecturer;
- b) Associate Lecturer;
- c) Assistant Lecturer; or
- d) Instructor.

<p>Special Conditions</p> <p>6.04 A Dean or the Provost may appoint a staff member with special conditions which are at variance with the terms of this Agreement provided:</p> <ul style="list-style-type: none"> a) the variations are in writing and are included in or appended to the letter of appointment; and, b) the variations have been approved in writing by the Provost after consultation with the President of the Association and prior to the offer being made. <p>6.05 The Provost may approve special conditions which are at variance with the terms of this Agreement and which are agreed to subsequent to the original appointment of a staff member provided:</p> <ul style="list-style-type: none"> a) the variations have been recommended by a Dean and are approved in writing by the staff member; and, b) the Provost has consulted with the President of the Association prior to approval. 	<p>Special Conditions</p> <p>6.8 A Dean or the Provost may appoint a staff member with special conditions which are at variance with the terms of this Agreement provided:</p> <ul style="list-style-type: none"> a) The variations are in writing and are included in or appended to the Letter of Appointment; and, b) The variations have been approved in writing by the Provost after consultation with the President of the Association and prior to the offer being made. <p>6.9 The Provost may approve special conditions which are at variance with the terms of this Agreement and which are agreed to subsequent to the original appointment of a staff member provided:</p> <ul style="list-style-type: none"> a) The variations have been recommended by a Dean and are approved in writing by the staff member; and, b) The Provost has consulted with the President of the Association prior to approval.
<p>Basic Conditions</p> <p>6.07.1 A staff member shall be provided appropriate workspace and reasonable access to support services for the discharge of responsibilities.</p> <p>6.07.2 A staff member shall be provided with the University identification card (the ONEcard).</p> <p>6.07.3 A staff member shall be provided with full University library privileges, with the termination date of such privileges to be the later of the termination date of the staff member's contract of appointment or the next following September 30.</p> <p>6.07.4 A staff member shall be provided with a computing services ID and password with the termination date of such privileges to be the later of the termination date of the staff member's contract of appointment or the next following September 30.</p> <p>6.07.5 A staff member shall be provided with access to the University Health Centre.</p> <p>6.07.6 A staff member shall be provided with access to University Recreation Services.</p>	<p>Basic Conditions</p> <p>6.10 A staff member shall be provided appropriate workspace and reasonable access to support services for the discharge of responsibilities.</p> <p>6.11 A staff member shall be provided with the University identification card (the ONEcard) and library and computing privileges in accordance with the related policies, procedures and protocols of the University, as amended from time to time. With the recognition that policies and procedures are dynamic documents that are reviewed and revised regularly based on numerous factors, the Association shall be consulted on policy and procedure related to identification cards and library and computing privileges. Appendix C sets out University Library Privileges for staff members.</p>

Posting of Vacancies and Notice of Appointment	Advertising of Positions
6.08 A Department Chair shall, whenever possible, post prospective opportunities for appointments to temporary teaching positions as early as possible and not later than four weeks prior to the beginning of the teaching term.	6.12 Recruitment, including the advertising of positions, shall be conducted in accordance with the policies, procedures and protocols of the University, as amended from time to time.
6.09.1 Vacancies in tenure-track positions or vacancies for long-term temporary appointments shall, as a minimum, be posted on the departmental bulletin board or by the standard means of communication of the department, e.g., by e-mail. Staff members are encouraged to apply for appointment to a vacancy.	6.13 Notwithstanding Article 6.12 above, prior to advertising positions available with the status of Career, Term 12 and Term 8R, a Department Chair shall notify current staff members with the status of Career, Term 12, Term 8R and Term 8 of such positions and:
6.09.2 Notwithstanding the above, in the case where the appointment of a non-Canadian/permanent resident is anticipated, Department Chairs should consult with Academic Staff Administration before beginning the recruitment process.	a) Provide those staff members with the opportunity to indicate their interest in the positions available.
Article 7: Renewal of Appointment	b) Shall first consider and appoint current staff members to the positions available in accordance with the following factors:
7.01.1 Following an assessment of satisfactory performance, a staff member who has an appointment for a rolling term shall have the terms of the appointment extended by one year (in the case of persons appointed on a 12 month basis), or one complete term (in the case of persons appointed on recurring terms of less than 12 months).	i. Academic qualifications in accordance with the position profile;
7.01.2 A staff member who has an appointment for a rolling term and who receives an assessment of unsatisfactory performance shall be provided notice that the contract will terminate on the next following June 30 (or an earlier date for persons whose recurring terms end on a date prior to June 30). If the assessment is not completed by April 1, the staff member shall receive a minimum of three months' notice of termination.	ii. Qualifications to perform the required duties;
7.01.3 Notwithstanding 7.01.1, when the need ceases for the position held by a staff member on a rolling term contract, or when the funding for the appointment is no longer available or sufficient, the Dean or the Provost shall so inform the staff member, in writing. The appointment of the staff member shall terminate on the next following June 30. If the information is not provided by April 1, the staff member shall receive a minimum of three months' notice of termination. The staff member shall receive a severance allowance in accordance with 27.04.	iii. Quality and effectiveness of previous service as determined by annual evaluation (Article 10); and
7.02.1 If a department has positions for full-time or part-time temporary staff available in the next following academic year, present staff members holding such	iv. Length of service (which shall be the determining factor only where all the other factors are relatively equal).

appointments may apply for such appointments and, if they apply, shall receive full consideration.

7.02.2 In making reappointments, the University shall consider professional qualifications, qualifications to perform the required work, quality and effectiveness of work performed and length of service. Length of service shall be the determining factor only where the other factors are relatively equal. Refer also to Appendix G, clause 2, Period of Appointment.

Cancellation and Reassignment of Courses

6.10 In the event that a Dean cancels a course for which a staff member has been appointed, the staff member shall be paid a cancellation stipend of:

- a) \$100 if the notice of cancellation is given less than four weeks prior to the scheduled start of classes; or
- b) \$200 if the notice of cancellation is given after the start of classes; the staff member shall also be paid salary earned from the date the appointment takes effect to the date of cancellation.

6.11 After an initial assignment, in the event that a course requiring new preparation is assigned, the staff member shall be paid a stipend of \$100 if the notice of reassignment is given within one week of the scheduled start of classes.

Article 8: University Responsibilities

8.01 The general duties of a staff member shall be specified in the letter of appointment. Specific responsibilities shall be assigned by the Department Chair.

Teaching Duties

Cancellation and Reassignment of Courses

6.14 In the event that a Department Chair cancels a course for which an Instructor has been appointed, the staff member shall be paid a cancellation stipend of:

- a) \$100 if the notice of cancellation is given less than four weeks prior to the scheduled start of classes; or
- b) \$200 if the notice of cancellation is given after the start of classes; the staff member shall also be paid salary earned from the date the appointment takes effect to the date of cancellation.

6.15 After an initial assignment, in the event that a course requiring new preparation is assigned, an Instructor shall be paid a stipend of \$100 if the notice of reassignment is given within one week of the scheduled start of classes.

6.16 In the event that a course is cancelled for which a staff member with a full-time Career or full-time Term Status appointment has been assigned, the staff member shall retain the workload and salary in accordance with the Letter of Appointment and shall be assigned suitable alternative work or a special project (course revisions, manual updates, other course support) for that teaching term.

Article 7: Responsibilities to the University

7.1 A staff member under this Agreement shall be a scholar who has teaching and/or teaching-related responsibilities as their primary academic responsibility.

7.2 The general duties of a staff member shall be specified in the position profile. Specific responsibilities shall be assigned by the Department Chair.

Teaching and/or Teaching-Related Responsibilities

8.02 A staff member shall demonstrate scholarship and remain current and competent in the discipline or profession in which the staff member is appointed.	7.3 A staff member shall demonstrate scholarship and remain current and competent in the discipline or profession in which the staff member is appointed.
8.03 The Department Chair shall assign to each staff member specific responsibilities, which shall include courses to be taught and other teaching duties and may include supervisory and administrative responsibilities.	7.4 The Department Chair shall assign to each staff member specific teaching and/or teaching-related responsibilities. Staff member shall include, but is not limited to those: a) delivering distance and web-based courses; b) developing curriculum and designing courses; c) supervising honors program undergraduate students and those supervising the work of graduate students; d) engaged in teaching-related administrative duties (such as curriculum coordination and staff supervision); e) engaged in practicum supervision; f) coaching athletic teams; and g) delivering clinical instruction for the Dental Hygiene program.
8.04 A staff member may decide on specific course content and instructional methodology, recognizing the approved course description and academic policy approved by the Department, the Faculty and the University.	7.5 A staff member may decide on specific course content and instructional methodology, recognizing the approved course description and academic policy approved by the Department, the Faculty and the University.
Research	Research and Other Scholarly Activities
8.05 In particular circumstances, the appointing officer and the staff member appointed to teaching duties may agree that the responsibilities shall include research.	7.6 In particular circumstances and in addition to teaching, research and other scholarly activities responsibilities (including a role as a Principal Investigator) may be included in the position profile of the staff member.
	7.7 If research and other scholarly activities responsibilities are not specifically included in the position profile as determined by ATSEC in accordance with Article 10.12 and, therefore, are not assigned responsibilities, the degree of voluntary participation in research and other scholarly activities may vary from staff member to staff member and from time to time.
8.06 Research activity shall be conducted in compliance with policies and procedures established by appropriate university authorities,) following	7.8 When a staff member participates in research and other scholarly activities responsibilities, such activity and research funds shall be administered in accordance with the policies and

<p>consultation with the Association. Questions arising from the administration of the regulations shall be in accordance with the provisions of this Agreement.</p> <p>Service</p> <p>8.07 The degree of participation in the governance of the University and other service responsibilities may vary from staff member to staff member and from time to time. Participation may be initiated by the staff member.</p> <p>Dispute Resolution</p> <p>8.08 If there is a dispute with respect to a teaching staff member's responsibilities, the staff member shall have recourse to the Department Chair, the Dean and the Provost, in that order. The decision of the Provost shall be final and binding.</p> <p>Article 9: Supplementary Professional Activities (SPA)</p> <p>9.01 This Article shall apply to all full-time staff members.</p> <p>Scope and Context of SPA</p> <p>9.02 A staff member who is a full-time employee has a primary obligation to fulfill University responsibilities. The staff member shall remain current with recent developments in the discipline through personal professional development.</p> <p>9.03 One means of accomplishing professional development may be through professional activity which is supplementary to the primary obligations to the University.</p> <p>9.04 Subject to the provisions of this Article, a staff member may engage in SPA. SPA shall not prevent, hinder or unduly interfere with the staff member's primary responsibilities.</p> <p>Definition of SPA</p> <p>9.05 Without restricting the generality of the term SPA, this category shall include any of the following:</p>	<p>procedures of the University following consultation with the Association.</p> <p>Service</p> <p>7.9 In particular circumstances, the position profile, in addition to teaching and/or teaching-related responsibilities, may also include service responsibilities.</p> <p>7.10 If service responsibilities are not specifically included in the position profile and, therefore, are not assigned responsibilities, the degree of participation in the governance of the University and other service responsibilities may vary from staff member to staff member and from time to time. Participation, in this case, may be initiated by the staff member.</p> <p>Dispute Resolution</p> <p>7.11 If there is a dispute with respect to a staff member's responsibilities to the University, the staff member shall have recourse to the Department Chair, the Dean and the Provost, in that order. The decision of the Provost shall be final and binding.</p> <p>Article 8: Supplementary Professional Activities (SPA)</p> <p>8.1 This Article shall apply to full-time staff members with Career Status and Term 12 Status appointments.</p> <p>Scope and Context of SPA</p> <p>8.2 A staff member who is a full-time employee has a primary obligation to fulfill University responsibilities. The staff member shall remain current with recent developments in the discipline through personal professional development.</p> <p>8.3 One means of accomplishing professional development may be through professional activity which is supplementary to the primary obligations to the University.</p> <p>8.4 Subject to the provisions of this Article, a staff member may engage in SPA. SPA shall not prevent, hinder or unduly interfere with the staff member's primary responsibilities.</p> <p>Definition of SPA</p> <p>8.5 Without restricting the generality of the term SPA, this category shall include any of the following:</p>
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<ul style="list-style-type: none"> a) employment in any capacity by another employer including the carrying out of teaching duties, e.g., summer session at another university; b) consulting; c) personal services contract; d) private practice of the staff member's profession, e.g., medicine, nursing, law, etc. 	<ul style="list-style-type: none"> a) Employment in any capacity by another employer including the carrying out of teaching duties, e.g., summer session at another university; b) Consulting; c) Personal services contract; or d) Private practice of the staff member's profession, e.g., dentistry, law, medicine, nursing, etc.
<p>Approval of SPA</p> <p>9.06 A staff member shall obtain written approval of the Department Chair prior to undertaking major SPA. Prior to approving SPA, the Department Chair shall ensure that primary University responsibilities will be performed satisfactorily.</p> <p>9.07 If there is a dispute with respect to a staff member's SPA, the staff member shall have recourse to the Dean and the Provost, in that order. The decision of the Provost shall be final and binding.</p> <p>9.08 The conditions governing SPA are set out in Appendix D.</p>	<p>Approval of SPA</p> <p>8.6 A staff member shall obtain written approval of the Department Chair prior to undertaking major SPA. Prior to approving SPA, the Department Chair shall ensure that primary University responsibilities will be performed satisfactorily.</p> <p>8.7 If there is a dispute with respect to a staff member's SPA, the staff member shall have recourse to the Dean and the Provost, in that order. The decision of the Provost shall be final and binding.</p> <p>8.8 The conditions governing SPA are set out in Appendix C.</p>
<p style="text-align: center;">Article 12: Evaluation</p> <p>12.01 The performance of a staff member shall be evaluated in accordance with this Article.</p> <p>12.02 A Faculty Council may recommend, and the Provost following consultation with the Association may approve, specific evaluation procedures for staff members in the Faculty. Such procedures may be specific to categories of staff members in the Faculty or to staff members in a specific Department. Faculty Councils which have adopted formal evaluation procedures prior to September 1, 1998 shall continue to apply those procedures until amended in accordance with this Agreement.</p> <p>12.03 In the absence of alternative procedures, the Department Chair shall be responsible for evaluation.</p>	<p style="text-align: center;">Article 9: Probationary Period</p> <p>9.1 The inclusion of a probationary period in the Letter of Appointment indicates an obligation on the part of the Department Chair to properly monitor the staff member's progress during a probationary period. In this regard, the Department Chair and the staff member shall ensure they each have a clear understanding of the position expectations and standards of performance, in accordance with Article 10 and in accordance with the general characteristics of the position as set out in the position profile, in order to conduct a written probationary assessment of the staff member's performance and the suitability of the appointment.</p> <p>9.2 A staff member who is appointed for the first time under this Agreement shall serve a probationary period of 12 months for:</p>
<p>Procedures for Review</p> <p>12.04.1 Evaluation shall be based on all assigned academic activity in the academic year.</p> <p>12.04.2 The staff member shall submit to the Department</p>	<ul style="list-style-type: none"> a) Career Status; or b) Term 12 Status with an appointment period greater than 24 months. <p>9.3 A staff member who previously did not serve a</p>

<p>Chair a report, in a format determined by the Department Chair unless Faculty Council has approved a format, summarizing academic activity during the year. The staff member may append additional information appropriate under the circumstances and may wish to provide additional evidence of scholarly proficiency.</p> <p>12.05 The Department Chair shall:</p> <ul style="list-style-type: none"> a) review the report and information b) review performance as a teacher in the multi-faceted manner mandated by GFC policy, and c) at the request of the staff member, meet with the staff member. <p>12.06 The Department Chair shall classify performance as:</p> <ul style="list-style-type: none"> a) exemplary, b) satisfactory, or c) unsatisfactory. 	<p>probationary period and who is appointed into Career or Term 12 Status under this Agreement (and where the position profiles are similar) shall have the previous appointment count towards the probationary period requirement for the new appointment Status.</p> <p>Probationary Decisions by ATSEC for Career and Term 12 Status</p> <p>9.4 Decisions regarding the probationary period of a staff member appointed with Career Status and Term 12 Status where the ATSEC is responsible for annual evaluation shall be in accordance with Evaluation Policies and Procedures under Article 10.</p>
<p>Timing</p> <p>12.07 The evaluation shall take place in June or, if a staff member has a shorter period of appointment, within 60 days of the expiry date of the appointment. The review period and timing of evaluation are subject to regulations, if any, of a Faculty Council.</p> <p>12.08.1 The Department Chair shall provide the staff member with 20 days' notice of the evaluation.</p> <p>12.08.2 The staff members shall submit the report of academic activities at least 10 days before that date, indicating whether the staff member wishes a meeting.</p> <p>12.08.3 The evaluation decision of the Chair shall be conveyed, in writing, to the staff member within 10 days of the date of evaluation.</p>	<p>Leaves</p> <p>9.5 If a staff member is on approved leave (disability leave, childbirth leave, parental leave, compassionate leave, medical leave, leave without pay) during the probationary period, the probationary period shall be extended by the duration of such leave, always subject to the length of the appointment period end date stipulated in the Letter of Appointment.</p> <p>Termination by the Department Chair During the Probationary Period for Term 12 Status</p> <p>9.6 In the case of a probationary period for a staff member with Term 12 Status where the Department Chair is responsible for annual evaluation in accordance with Article 10, the Department Chair may terminate the appointment of a staff member during the probationary period, by providing one month's written notice of such termination.</p> <p>9.7 Before making the determination under Article 9.6 to terminate the appointment of a staff member during the probationary period, the Department Chair shall consult with an Administration Advisor. The Administration Advisor shall advise the Association of the decision to terminate the appointment during the probationary appointment.</p>
<p>Application</p> <p>12.09 The evaluation and decision shall be used:</p> <ul style="list-style-type: none"> a) to provide a formal appraisal of services; b) to award increments in accordance with 17.05; c) to decide on the extension of rolling term appointments in accordance with 7.01; and d) as information in determining future appointments under this Agreement. <p>12.10 By December 15, the Dean of a Faculty shall provide a written report to the Provost with a copy to the Association summarizing the results of the evaluation within the Faculty for the previous</p>	<p>9.8 The staff member shall be provided with written notice from the Department Chair to terminate the appointment during the probationary period. The Association shall be present when the staff member receives the written notice.</p> <p>9.9 The effective date of the termination shall be one month from the date of notice (the "notice period"). During the notice period, the staff member shall perform such duties as may be</p>

academic year. The report shall list the number of staff members evaluated, the number who received exemplary, satisfactory and unsatisfactory rankings in each Department in the Faculty.

assigned or be placed on leave with full pay or be required to take any accumulated vacation, or a combination of the foregoing. After discussion with the staff member, the Department Chair shall decide which of the foregoing shall apply.

- 9.10 A staff member whose appointment is terminated during the probationary period shall have recourse to the Dean, whose decision is final and binding.

Confirmation, Extension or Termination by the Department Chair at the End of the Probationary Period for Term 12 Status

- 9.11 In the case of a probationary period for a staff member with Term 12 Status where the Department Chair is responsible for annual evaluation in accordance with Article 10, the Department Chair shall provide at least one month's written notice prior to the end of the probationary period either that:
- a) The staff member is confirmed in the appointment; or
 - b) The probationary period is extended to a maximum of an additional 6 months; or
 - c) The appointment is terminated effective at the end of the probationary period. During the notice period, the staff member shall perform such duties as may be assigned or be placed on leave with full pay or be required to take any accumulated vacation, or a combination of the foregoing. After discussion with the staff member, the Department Chair shall decide which of the foregoing shall apply.
 - d) If the Department Chair fails to provide notice prior to the end of the probationary period, the staff member shall be confirmed in the appointment.

- 9.12 Before making the recommendation in accordance with Article 9.11.c to terminate the appointment at the end of the probationary period, the Department Chair shall consult with an Administration Advisor. The Administration Advisor shall advise the Association of the decision to terminate the appointment at the end of the probationary period.

- 9.13 The staff member shall be provided with written notice from the Department Chair to terminate the appointment at the end of the probationary period. The Association shall be present when

the staff member receives the written notice.

- 9.14 A staff member whose appointment is terminated at the end of the probationary period shall have recourse to the Dean, whose decision is final and binding.

Article 10: Evaluation

- 10.1 The review of a staff member's performance shall be used to:

- a) Award increments; and
- b) Inform Department Chair's recommendations for future appointments in accordance with Article 6 of this Agreement.

Academic Teaching Staff Evaluation Committee

- 10.2 Each Faculty Council shall establish an Academic Teaching Staff Evaluation Committee (ATSEC).

- 10.3 Subject to Appendix I, wherever possible, the ATSEC for a Faculty must assure majority voting representation from the staff members of that Faculty under this Agreement. Where this is not possible, because of a small number of staff members under this Agreement, that Faculty shall seek approval of the Board and the AASUA to vary their composition.

- 10.4 The ATSEC shall develop, for the approval of the Provost, evaluation policies and procedures for all staff members under this Agreement.

Responsibility for Annual Evaluation

- 10.5 In order for the staff member's performance to be annually reviewed, the Department Chair and the staff member shall each ensure that they have a clear understanding of the position expectations and standards of performance for the position profile and are aware of any eligibility for performance increments.

- 10.6 The staff member shall submit an annual report to the Department Chair, in a format determined by ATSEC, regardless of whether the staff member is eligible for performance increments or not.

- 10.7 Staff members with Career Status shall be annually evaluated by ATSEC.

- 10.8 Staff members with Term Status shall be annually evaluated either by ATSEC or by the

Department Chair, as determined by ATSEC.

- 10.9 Staff members with Instructor Status shall be annually evaluated by the Department Chair.

Timing of Annual Review

- 10.10 The annual review period for staff members with Career Status shall normally be July 1 to June 30 with the review process conducted in the next Fall/Winter Term and any incrementation to be effective the following July 1. A staff member with Career Status whose appointment takes effect:

- a) In the period July 1 to October 1, inclusive, is eligible to receive a single increment;
- b) In the period October 2 to June 1, inclusive, is eligible to receive a pro-rated increment, the proportion of a single increment depending on the number of months they have worked out of 12; and
- c) In the period June 2 to June 30, inclusive, is not eligible to receive an increment on July 1.

- 10.11 The annual review period for the purpose of determining performance increments for staff members in Instructor or Term Status appointments may be varied depending on the appointment periods that the staff member has experienced and when they may be eligible for an increment in accordance with this Article.

Authority of ATSEC (Refer to Appendix H for detailed procedures)

- 10.12 Each Faculty's ATSEC shall be authorized to prepare for the approval of Faculty Council and the Provost, the following evaluation policies and procedures:
- a) Position profiles, including academic and/or professional qualifications, skills, competencies, definitions of standard teaching workloads and any research and service responsibilities;
 - b) Position expectations and standards of performance for each rank as outlined in Article 6.7 and for all responsibilities identified within the position profiles, including for those in probationary periods;
 - i. Specifically for teaching and/or teaching-related responsibilities, the position expectations and standards of

	<p>performance shall be broadly based, including course content, course design and performance in the classroom.</p> <p>ii. Such teaching and/or teaching-related responsibilities evaluation may take into account information such as statistical summaries of responses to student questionnaires, comprehensive reviews of student commentary; reviews by peers, reviews by administrative officials and reviews of teaching dossiers and other materials provided by the staff member;</p> <p>c) The format of the annual report;</p> <p>d) Procedures governing applications for promotion to Associate Lecturer and Full Lecturer;</p> <p>e) Criteria for recommendations regarding probationary periods; and</p> <p>f) Criteria for annual increment recommendations.</p> <p>10.13 The Association shall be provided with a copy of the Faculty's evaluation policies and procedures.</p> <p>10.14 At least every 10 years from the date of each approval, and/or at the request of the Provost, the position expectations and standards of performance shall be reviewed and reconsidered by Faculty Council and submitted to the Provost for approval.</p> <p>Position Expectations, Standards of Performance and Promotion</p> <p>10.15 The review of a staff member's performance shall be based on consideration of the performance of the responsibilities of the staff member as outlined in Article 7 and in accordance with the staff member's specific position profile.</p> <p>10.16 Position expectations and standards of performance shall be prepared by ATSEC on the basis that a staff member is expected to demonstrate competence in responsibilities assigned in accordance with Article 10.15. Position expectations and standards of performance:</p> <p>a) Shall enable evaluation of academic performance across its full range;</p>
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<p>Increments</p> <p>17.05.1 A staff member shall receive an increment if re-appointed to a subsequent term appointment, provided:</p> <ul style="list-style-type: none"> a) that the evaluation of performance in the preceding year was at least satisfactory, and b) provided the staff member has received no more than seven increments in the past. <p>Additional increments may be awarded at the decision of the appointing officer.</p> <p>17.05.2 Increments shall take effect on July 1 or on the first date of reappointment after July 1 following the period of service covered by the increment.</p>	<ul style="list-style-type: none"> b) Shall be based on merit and not on length of service; and c) May vary from Faculty to Faculty. <p>10.17 Staff members shall be evaluated annually against these position expectations and standards of performance and always in accordance with the position profile:</p> <ul style="list-style-type: none"> a) Performance expectations shall increase as a staff member moves through the ranks; b) For promotion to Associate Lecturer, the staff member must demonstrate a strong record of achievement in teaching and/or teaching-related responsibilities, and must demonstrate on the basis of performance as Assistant Lecturer that they are capable of contributing effectively as a staff member in all areas of responsibility; and c) For promotion to Full Lecturer, the staff member must demonstrate excellence in teaching and/or teaching-related responsibilities and a strong record of achievement in all areas of responsibility. <p>A staff member with Instructor Status may be eligible for promotion subject to the position expectations and standards of performance established by the Faculty's ASTEC.</p> <p>10.18 Position expectations and standards of performance for promotion to Associate Faculty Lecturer shall not be changed for an individual staff member prior to the start of or during the promotion process unless the staff member agrees.</p> <p>Eligibility for an Increment for Term 8R, Term 8 and Instructor Status</p> <p>10.19 A staff member with Term 8R, Term 8 or Instructor Status shall have increment eligibility determined as follows within the position profile:</p> <ul style="list-style-type: none"> a) A staff member shall be eligible for an increment no more than once in a 12 month period. b) A staff member shall be eligible for increments available to reach the maximum step of the salary range for the position profile, regardless at which step they begin.
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- c) A staff member shall be eligible for an increment after accumulating a total of at least 8 months of service within the position profile, regardless of whether the staff member worked full or part-time; and subject to at least one evaluation of teaching and/or teaching-related responsibilities having occurred within the previous 6 month period. The increment shall always be effective at the beginning of the next teaching term or appointment contract (after the accumulation of the 8 months, or more, of service).
- d) Standard Spring Session and Summer Session appointment periods are each equivalent to 2 months of accumulated service within the position profile.
- e) If there is a break in service of 12 months (not including approved leaves), or more, the prior service shall not be considered in determining appointment salary or a future increment.
- f) Increment eligibility for a staff member who is appointed to multiple part-time positions shall be determined by each Department Chair for positions within their department.
- g) A staff member shall be eligible for an increment after providing certification that they have completed all the requirements for a PhD, or equivalent degree. The increment shall always be effective at the beginning of the next teaching term or appointment contract.

Eligibility for an Increment for Career or Term 12 Status

10.20 A staff member with Career or Term 12 Status shall be eligible for increments to the maximum of the salary range for the position profile.

- a) A staff member with Terms 12 Status shall be eligible for the first performance increment when they have worked for 12 months within the position profile and subsequent increments after work in each consecutive 12 month period within the position profile.
- b) A staff member with Career Status shall be eligible for the first performance increment in accordance with Article 10.10 and subsequent increments after work in each consecutive 12 month period within the position profile.

Increment Recommendations

10.21 For a staff member who is eligible for an increment (and depending on whether the Department Chair or ATSEC is responsible for evaluation), the Department Chair shall either determine, or recommend to ATSEC, whether the staff member should receive an increment based on performance in the appropriate preceding period. The recommendation shall be one of the following:

- a) Single increment;
- b) Multiple increment which may be 1.25, 1.50, 1.75, 2.0, 2.25, 2.50, 2.75 or 3.0;
- c) Partial increment, which shall bring the salary to the maximum of the salary range and which is either:
 - i. greater than a single increment but not a multiple increment; or
 - ii. less than a single increment;
- d) An increment of .50 or .75;
- e) An increment of Zero.

10.22 If the staff member has insufficient accumulated service at the time of the annual evaluation and performance is satisfactory, an increment shall be awarded in accordance with Article 10.19 c.

Increment of Zero is Awarded

10.23 If an increment of zero is recommended or awarded, that increment of zero shall be qualified as one of the following:

- a) That maximum for rank has been reached but performance is satisfactory notwithstanding (0a);
- b) That academic performance while on authorized leave could not be properly evaluated (0c); or
- c) That academic performance is unsatisfactory (0d).

Article 11: Unsatisfactory and Unacceptable Performance

- 11.1 A designation of unsatisfactory performance occurs when a staff member receives an increment of Zero (0d).

Unsatisfactory Performance for Instructor or Term Status

- 11.2 The appointment contract of a staff member with Instructor or Term Status who has received a designation of unsatisfactory performance may be terminated.

- 11.3 A staff member with Instructor or Term Status with unsatisfactory performance shall have recourse as follows:

- a) Where evaluated by the Department Chair; to the Dean, whose decision shall be final and binding; or
- b) Where evaluated by ATSEC; to the Provost, whose decision shall be final and binding.

- 11.4 In the case of unsatisfactory performance for a staff member, where the decision is termination, the appointment contract shall terminate on the:

- a) Date stipulated in the Letter of Appointment for Instructor or Term 8 Status;
- b) Full-time workload end-date for Term 8R Status (e.g. appointment period of July 1 to June 30 and full-time workload occurs September 1 to April 30, the contract shall terminate on April 30); or
- c) Next end-date within the annual appointment period for Term 12 Status (e.g., appointment period of July 1 to June 30, the contract shall terminate on June 30).

- 11.5 Before making the determination under Article 11.4 to terminate the appointment of a staff member with unsatisfactory performance, the Department Chair shall consult with an Administration Advisor. The Administration Advisor shall advise the Association of the decision to terminate the appointment.

- 11.6 The staff member shall be provided with written notice from the Department Chair to terminate the appointment. The Association shall be present when the staff member receives the written notice.

**Contested and Reconsidered Case for Career Status
[please note that this section is subject to
Appendices H and I]**

11.7 A contested case occurs when a Department Chair makes a recommendation of unsatisfactory performance to ATSEC and where the staff member with Career Status shall be provided with the opportunity to present their case in person to ATSEC.

11.8 A reconsidered case occurs when ATSEC has:

- a) reduced a Department Chair's increment recommendation to unsatisfactory performance, or
- b) has disagreed with the Department Chair's recommendation for promotion.

In these cases, the staff member with Career Status shall be provided with the opportunity to present their case in person to a reconvened ATSEC.

11.9 A staff member who is provided with the opportunity to present their case in person to ATSEC shall be advised that they may consult with the Association. The staff member shall have the right to be accompanied by an advisor, but not legal counsel.

11.10 A staff member with Career Status who receives either a decision of unsatisfactory performance or denial of promotion by ATSEC shall have recourse to the Provost, whose decision shall be final and binding.

Unacceptable Performance for Career Status

11.11 A designation of unacceptable performance for a staff member with Career Status occurs when they receive a second recommendation of unsatisfactory performance, having received a first decision of unsatisfactory performance in either of the two preceding years.

11.12 The appointment contract of a staff member with Career Status with unacceptable performance may be terminated.

11.13 When a Department Chair makes a recommendation of unacceptable performance to ATSEC, the staff member shall be provided with the opportunity to present their case in person to ATSEC as a contested case.

11.14 When ATSEC has reduced a Department

<p style="text-align: center;">Article 27: Layoff</p> <p>27.01 This Article shall not apply to those staff members whose appointments terminate by the end of a current academic year (June 30) nor shall it apply to those staff members appointed to the Spring Session or Summer Session staff. In addition, it does not apply to appointments of staff members which are cancelled due to the cancellation of courses under 6.10.</p> <p>27.02 In the case of staff members other than those excluded under 27.01, if the appointing officer determines that the need for the appointment of a staff member no longer exists or that funding for the appointment is no longer available or is insufficient, the appointing officer shall so advise the staff member, in writing, and the appointment of the staff member shall terminate under the terms and conditions of 27.03. A copy of the notice shall</p>	<p>Chair's increment recommendation to unacceptable performance, the staff member shall be provided with the opportunity to present their case in person to ATSEC as a reconsidered case.</p> <p>11.15 The staff member who is provided with the opportunity to present their case in person to ATSEC shall be advised that they may consult with the Association. The staff member shall have the right to be accompanied by an advisor, but not legal counsel.</p> <p>11.16 Before making the determination under Article 11.12 to terminate the appointment of a staff member with unacceptable performance, the Department Chair shall consult with an Administration Advisor. The Administration Advisor shall advise the Association of the decision to terminate the appointment.</p> <p>11.17 The staff member shall be provided with written notice from ATSEC to terminate the appointment. The Association shall be present when the staff member receives the written notice.</p> <p>11.18 In the case of unacceptable performance for a staff member with Career Status, where the decision is dismissal, the Provost shall state the effective date of termination.</p> <p>11.19 The decision to terminate the appointment of a staff member with Career Status for unacceptable performance is subject to the Grievance Procedures established in Article 14.</p> <p style="text-align: center;">Article 12: Notice Period and Layoff</p> <p>12.1 For the purpose of this Article, a layoff is providing notice of the end date of a Career Status appointment or the termination of a Term 12 Status appointment prior to the end date of the appointment period and may result if:</p> <ul style="list-style-type: none"> a) The duties described in the position profile are no longer required; b) The staff member no longer has the qualifications required to carry out the responsibilities following a change in the position profile; or c) The funding for the appointment is insufficient or is no longer available. <p>12.2 The formal notice period for layoff of a staff member shall be:</p>
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<p>be sent to the Association.</p> <p>27.03 Prior to sending the notice, the appointing officer shall meet with the staff member to discuss the recommendation. The staff member shall have the right to be accompanied at such a meeting by a representative of the Association.</p> <p>27.04 If an appointment of a staff member is terminated under 27.02, the following conditions shall govern notice and severance:</p> <ul style="list-style-type: none"> a) The notice period shall be three months; b) Where the staff member's service to the University up to the date of termination advice under 27.02 is less than one year, the staff member shall not be entitled to severance upon termination; c) Where the staff member's service to the University up to the date of termination advice under 27.02 is one year or more, the staff member shall be entitled to severance of one month's salary for each year of service, to a maximum of nine months' salary; d) Notwithstanding the foregoing, the appointing officer may offer the staff member whose appointment is being terminated under the Article an alternative appointment and, if so, a new contract shall be entered into between the University and the staff member and the rules under this Article shall be amended appropriately. 	<ul style="list-style-type: none"> a) 12 months for Career Status appointments; or b) 3 months for Term 12 Status appointments. <p>12.3 The Department Chair shall provide the written recommendation of a layoff to the Dean which shall include:</p> <ul style="list-style-type: none"> a) The appropriate reason for the lay-off in accordance with Article 12.1; b) The effective date of the lay-off; and c) Details of efforts made to seek alternative appointments that would minimize negative impacts on the staff member. <p>12.4 Where the recommendation of the Department Chair is layoff of the staff member, the Department Chair and/or the Dean shall first consult with an Administration Advisor. The Administration Advisor shall advise the Association of the layoff recommendation.</p> <p>12.5 The Dean and the Department Chair shall prepare a written decision of a layoff which shall be provided to the staff member at a meeting with the Department Chair, the staff member, an Administration Advisor and the Association.</p> <p>12.6 The purpose of the meeting under Article 12.5 shall be to discuss:</p> <ul style="list-style-type: none"> a) The details of the layoff and of the efforts made to minimize negative impacts on the staff member; and b) During the notice period, the staff member shall perform such duties as may be assigned or be placed on leave with full pay or be required to take any accumulated vacation, or a combination of the foregoing. After discussion with the staff member, the Department Chair shall decide which of the foregoing shall apply. <p>12.7 The effective date of the start of the formal notice period shall be the day after the date of the decision letter.</p> <p>12.8 Layoff under this Article shall not be considered nor presented as dismissal for cause.</p> <p>12.9 Entitlement to severance due to the layoff of a staff member with Term 12 Status is one month's salary for each full year of service, to a maximum of 9 months' salary.</p>
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	<p>12.10 Severance shall normally be paid in a lump sum.</p> <p>12.11 The decision of the Dean to terminate the Career or Term 12 appointment due to layoff is subject to the Grievance Procedures established in Article 14.</p> <p>12.12 A staff member with Term 8R Status shall not be subject to layoff. In the case of circumstances described in Article 12.1, the appointment shall end on the full-time workload end-date without the need for further notice or severance from the University.</p> <p>12.13 A staff member with Instructor or Term 8 Status shall not be subject to layoff. In the case of circumstances described in Article 12.1, the appointment shall end on the date stipulated in the Letter of Appointment without the need for further notice or severance from the University.</p> <p>12.14 Should an appointment from which a staff member has been laid off be reinstated or an appointment with substantially the same duties as that appointment be established in the same Department within 6 months of the date on which the previous incumbent was laid off, the previous incumbent shall be offered the appointment.</p>
<p style="text-align: center;">Article 13: Discipline</p> <p>Administrative Discipline</p> <p>13.01 The Association acknowledges the administrative responsibilities and functions of the Board to impose discipline, in particular, the delegation of disciplinary powers and duties to appropriate officers (Department Chairs and Deans) as provided for in Article 4 of the Agreement. Accordingly, Deans and Department Chairs may investigate the actions of staff members and take appropriate disciplinary action when such discipline is warranted.</p> <p>13.02 In the event that the officer imposes discipline, the penalties imposed shall conform with those set out in 14.07 and shall be subject to grievance under Article 24.</p>	<p style="text-align: center;">Article 13: Complaints</p> <p>Administrative Discipline</p> <p>13.1 The Association acknowledges the administrative responsibilities and functions of the Board to impose discipline and, in particular, the delegation of disciplinary powers and duties to appropriate officers (Department Chairs and Deans) in accordance with Article 4. Accordingly, Deans and Department Chairs may investigate the actions of staff members and take appropriate disciplinary action when such discipline is warranted.</p> <p>13.2 In the event that the officer imposes discipline, the penalties imposed shall conform with those set out in Article 13.12 and shall be subject to grievance under Article 14.</p>
<p style="text-align: center;">Article 14: Complaints</p> <p>Written Complaints About Staff Members</p> <p>14.01 Any person may make a written complaint to the Provost about the conduct of a staff member,</p>	<p>Written Complaints About Staff Members</p> <p>13.3 Any person may make a written complaint to the Provost about the conduct of a staff member, including in the complaint a description of the act or omission about which the complaint is being</p>

<p>including in the complaint a description of the act or omission complained about.</p> <p>Notifying the Staff Member of the Complaint</p> <p>14.02 On receipt of a written complaint, the Provost shall:</p> <ul style="list-style-type: none"> a) send a copy of it to the staff member; and, b) inform in writing the staff member of his or her right to ask for advice from the Association <p>Response to the Complaint</p> <p>14.03 The staff member may make written response to the complaint to the Provost within 10 days of the date the staff member receives it.</p> <p>Meeting to Discuss the Report and Response</p> <p>14.04 The Provost shall offer to meet with the staff member concerned.</p> <p>14.05 Both the Provost and the staff member may have an advisor at the meeting, but each party shall, not later than the day before the meeting is to be held, inform the other who the advisor will be.</p> <p>Decision of the Provost</p> <p>14.06 Whether or not there is any response or any meeting, the Provost shall,</p> <ul style="list-style-type: none"> a) dismiss the complaint; or b) penalize the staff member in accordance with 14.07, stating the effective date on which the penalty is imposed. Such decision shall be final and binding, subject to 14.13. <p>14.07 The penalty may include one or more of the following:</p> <ul style="list-style-type: none"> a) a letter of reprimand; b) a fine; c) a reduction in salary; d) suspension with or without pay; e) dismissal; or f) other appropriate penalty. <p>14.08 Provost shall advise the staff member of the decision, in writing, and shall inform the complainant and the Association of the decision.</p>	<p>made.</p> <p>Notifying the Staff Member of an Accepted Complaint</p> <p>13.7 On receipt of a written complaint, the Provost shall:</p> <ul style="list-style-type: none"> a) Send a copy of it to the staff member and b) inform the staff member, in writing, of their right to ask for advice from the Association; <p>Response to the Complaint</p> <p>13.8 The staff member may make written response to the complaint to the Provost within 10 days of the date the staff member receives it.</p> <p>Meeting to Discuss the Report and Response</p> <p>13.9 The Provost shall offer to meet with the staff member concerned.</p> <p>13.10 Both the Provost and the staff member may have an advisor at the meeting, but each party shall, not later than the day before the meeting is to be held, inform the other who the advisor will be.</p> <p>Decision of the Provost</p> <p>13.11 Whether or not there is any response or any meeting, the Provost shall either,</p> <ul style="list-style-type: none"> a) Dismiss the complaint; or b) Penalize the staff member in accordance with Article 13.12, stating the effective date on which the penalty is imposed. <p>Such decision shall be final and binding, subject to Article 13.16.</p> <p>13.12 The penalty may include one or more of the following:</p> <ul style="list-style-type: none"> a) A letter of reprimand; b) A fine; c) A reduction in salary; d) Suspension with or without pay; e) Dismissal; or f) Other appropriate penalty. <p>13.13 The Provost shall advise the staff member of the decision, in writing, and shall inform the complainant and the Association of the decision.</p>
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<p>Staff Member’s Request for Arbitration Reference</p> <p>14.09 If the decision of the Provost is to impose a penalty, the staff member may, in writing, request the Association to refer the matter to arbitration, but the request may only be made within 10 days of the date that the decision was delivered to the staff member.</p> <p>Association’s Options</p> <p>14.10 On receipt of a request by a staff member to refer a matter to arbitration, the Association may:</p> <ul style="list-style-type: none"> a) take no action on the matter; or b) refer to arbitration the decision or the penalty, or both. <p>14.11 Within 20 days of receiving a request by the staff member to do so, the Association shall inform the Provost by written notice whether or not it wishes the decision, the penalty or both to be referred to arbitration.</p> <p>14.12 Article 26 applies to a matter referred to arbitration under this Article.</p> <p>Effective Date of Penalty</p> <p>14.13 The effective date of the penalty shall be determined by the Provost in making the decision in 14.07 unless 14.14 applies.</p> <p>14.14 If the Association has decided to submit the matter to arbitration, the effective date shall be as determined by the Arbitrator unless the Provost imposes an earlier date, which the Provost is empowered to do:</p> <ul style="list-style-type: none"> a) in cases involving suspension or dismissal, where health, safety or welfare of the University campus community is involved or the actions under review involve an immediate threat to the functioning of the University; or b) in cases alleging abandonment of employment. <p style="text-align: center;">Article 24: Grievance</p> <p>24.01 A grievance is an allegation that there has been a violation or improper application of the terms of this Agreement.</p> <p>24.02 Disputes, for which there are specific dispute</p>	<p>Staff Member’s Request for Arbitration Reference</p> <p>13.14 If the decision of the Provost is to impose a penalty, the staff member may request, in writing, that the Association refer the matter to arbitration, but the request may only be made within 10 days of the date that the decision was delivered to the staff member.</p> <p>Association’s Options</p> <p>13.15 On receipt of a request by a staff member to refer a matter to arbitration, the Association may:</p> <ul style="list-style-type: none"> a) Take no action on the matter; or b) Refer to arbitration the decision or the penalty, or both. <p>13.16 Within 20 days of receiving a request by the staff member to do so, the Association shall inform the Provost by written notice whether or not it wishes the decision, the penalty or both to be referred to arbitration.</p> <p>13.17 Article 27 applies to a matter referred to arbitration under this Article.</p> <p>Effective Date of Penalty</p> <p>13.18 The effective date of the penalty shall be determined by the Provost in making the decision in Article 13.12 unless Article 13.19 applies.</p> <p>13.19 If the Association has decided to submit the matter to arbitration, the effective date shall be as determined by the Arbitrator unless the Provost imposes an earlier date, which the Provost is empowered to do:</p> <ul style="list-style-type: none"> a) In cases involving suspension or dismissal, where health, safety or welfare of the University campus community is involved or the actions under review involve an immediate threat to the functioning of the University; or b) In cases alleging abandonment of employment. <p style="text-align: center;">Article 14: Grievance</p> <p>14.1 A grievance is an allegation that there has been a violation or improper application of the terms of this Agreement.</p> <p>14.2 Disputes, for which there are specific dispute</p>
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<p>resolution mechanisms provided in this Agreement (8.08, 9.07, 14.10-14.12, 16.10, 25.03, 26), shall not be resolved by the procedures under this Article.</p>	<p>resolution mechanisms provided in this Agreement, shall not be resolved by the procedures under this Article.</p>
<p>24.03 A grievance may be initiated by the Association a) at its own behest, b) on behalf of a staff member, or c) on behalf of a group of staff members.</p>	<p>14.3 A grievance may be initiated by the Association:</p> <p>a) At its own behest;</p>
<p>24.04 The grievance process shall be initiated by the Association within 60 days of the date on which the violation or improper application is alleged to have occurred.</p>	<p>b) On behalf of a staff member; or</p> <p>c) On behalf of a group of staff members.</p>
<p>24.05 The grievance process is as follows:</p>	<p>14.4 The grievance process shall be initiated by the Association within 60 days of the date on which the violation or improper application is alleged to have occurred, or within 60 days of the date on which the Association should reasonably have learned that the action or omission had occurred.</p>
<p>24.05.1 a) Before submitting a formal grievance, the Association shall attempt to resolve the matter by meeting with the appropriate Department Chair.</p>	<p>14.5 The grievance process is as follows:</p>
<p>b) The Department Chair shall consider the matter and within 15 days of any meeting under a), shall submit a written report to the Association.</p>	<p>a) Before submitting a formal grievance, the Association shall attempt to resolve the matter by meeting with the appropriate Department Chair.</p>
<p>c) If the Association accepts any proposal for resolution in the report under b), the matter ends; if not, the matter shall proceed under 24.05.2.</p>	<p>b) The Department Chair shall consider the matter and, within 15 days of any meeting under Article 14.5 (a), shall submit a written report to the Association.</p> <p>c) If the Association accepts any proposal for resolution in the report under Article 14.5 (b), the matter ends; if not, the matter shall proceed under Article 14.6.</p>
<p>24.05.2 a) If the matter is not resolved under 24.05.1, the Association may, within 15 days of receipt of the report under 24.05.1(b), submit a formal grievance to the Dean.</p>	<p>14.6 a) If the matter is not resolved under 14.5, the Association may, within 15 days of receipt of the report under Article 14.5 (b), submit a formal grievance to the Dean.</p>
<p>b) The formal grievance shall have the following components:</p> <p>1) It shall be in writing and refer to the provision in the Agreement which is alleged to have been violated or improperly applied;</p> <p>2) It shall summarize the evidence generating the matter; and</p> <p>3) It shall state the relief or remedy sought.</p>	<p>b) The formal grievance shall have the following components:</p> <p>i. It shall be in writing and refer to the provision in this Agreement which is alleged to have been violated or improperly applied;</p> <p>ii. It shall summarize the evidence generating the matter; and</p> <p>iii. It shall state the relief or remedy sought.</p>
<p>c) The Dean shall investigate the formal grievance and, within 15 days of receipt of the formal grievance, shall submit a written report, including a recommendation for resolution, to</p>	<p>c) The Dean shall investigate the formal grievance and, within 15 days of receipt of the formal grievance, shall submit a written</p>

<p>the Association.</p> <p>d) If the Association accepts the recommendation under (c), the matter ends; if not, the matter shall proceed under 24.05.3 or under 24.05.1.</p> <p>24.05.3 a) If the Association does not accept the recommendation of a Dean under 24.05.2(c), it may refer the matter to the Provost, provided such referral is within 15 days of receipt of the report under 24.05.2(c).</p> <p>b) The Association and the Provost shall meet within 10 days of referral under a) to attempt to resolve the matter.</p> <p>c) If no resolution is made under (b), either the Association or the Provost may, within 30 days of agreeing to disagree, refer the matter to arbitration under Article 29.</p> <p>24.06 All dates and times in this Article may be varied by the mutual consent of the parties.</p> <p>24.07 Failure of either party to act within the time periods required by this Article, or as altered by 24.06, may, within 5 days of such failure, be drawn to the attention of the party failing to act. If the Association does not respond within 10 days, the failure to act shall indicate acceptance of any proposed resolution. If an administrator does not respond, the Association may proceed to arbitration under Article 29.</p>	<p>report, including a recommendation for resolution, to the Association.</p> <p>d) If the Association accepts the recommendation under Article 14.6 (c), the matter ends; if not, the matter shall proceed under Article 14.7.</p> <p>14.7 a) If the Association does not accept the recommendation of a Dean under Article 14.6 (c), it may refer the matter to the Provost, provided such referral is within 15 days of receipt of the report under Article 14.6 (c).</p> <p>b) The Association and the Provost shall meet within 10 days of referral under Article 14.7 (a) to attempt to resolve the matter.</p> <p>d) If no resolution is made under Article 14.7 (b), either the Association or the Provost may, within 30 days of agreeing to disagree, refer the matter to arbitration under Article 27.</p> <p>14.8 All dates and times in this Article may be varied by the mutual consent of the parties.</p> <p>14.9 Failure of either party to act within the time periods required by this Article, or as altered by Article 14.8 may, within 5 days of such failure, be drawn to the attention of the party failing to act. If the Association does not respond within 10 days, the failure to act shall indicate acceptance of any proposed resolution. If an administrator does not respond, the Association may proceed to arbitration under Article 27.</p>
<p style="text-align: center;">Article 15: Termination</p> <p>15.01 The term of an appointment shall be indicated on the letter of appointment (Appendix B). There is no obligation on the University to extend the appointment beyond that term or to reappoint the staff member.</p> <p>15.02 A staff member may resign during the term of appointment. The staff member is encouraged to give one (1) month's notice, in writing, to the Dean or the Provost who made the original appointment.</p> <p>15.03 On termination, a staff member must return all University property to the appropriate departmental officer.</p>	<p style="text-align: center;">Article 15: Termination</p> <p>15.1 The term of an appointment shall be indicated on the Letter of Appointment (Appendix A). The University is under no obligation to extend the appointment beyond that term or to reappoint the staff member.</p> <p>15.2 A staff member may resign or retire during the term of their appointment contract by submitting written notice to the Department Chair. The staff member shall provide as much notice as possible before the effective date of the resignation or retirement.</p> <p>15.3 On termination, a staff member must return all University property to the appropriate departmental officer.</p>

<p>Article 23: Indebtedness to the University</p> <p>23.01 A staff member may, from time to time, be under a financial obligation to the Board. Without restricting the generality of the foregoing, examples of such obligations may include travel advances not used or returned, unauthorized personal expenditures on University credit cards, and over expenditures on university accounts for which the staff member has signing authority.</p> <p>23.02 The Board shall notify the staff member of such obligation by formal notice sent to the staff member's address of record in Human Resources.</p> <p>23.03 If the staff member does not respond within 30 days to make arrangements to discharge the obligation, the Board may deduct the amount owing from the salary due and payable to the staff member.</p>	<p>Article 16: Indebtedness to the University</p> <p>16.1 A staff member may, from time to time, be under a financial obligation to the Board. Without restricting the generality of the foregoing, examples of such obligations may include travel advances not used or returned, unauthorized personal expenditures on University credit cards, and over expenditures on university accounts for which the staff member has signing authority.</p> <p>16.2 The Board shall notify the staff member of such obligation by formal notice sent to the staff member's address of record in Human Resources.</p> <p>16.3 If the staff member does not respond within 30 days to make arrangements to discharge the obligation, the Board may deduct the amount owing from the salary due and payable to the staff member.</p>
<p>Article 16: Compensation Negotiations</p> <p>16.01 The Board and the Association shall negotiate a salary schedule and a program of benefits.</p> <p>16.02 Negotiations shall normally be for one-year agreements, but, with the consent of both parties to this Agreement, multiple year agreements may be negotiated.</p> <p>16.03 By December 15 of each academic year in which negotiations are to be undertaken, each party shall inform the other of the names of three persons who shall be the negotiating team. Each team may invite consultants and resource persons to attend negotiating sessions.</p> <p>16.04 By January 15 of each academic year in which negotiations are to be undertaken, each negotiating team shall deliver to the other a list of items upon which it wishes to negotiate, setting forth its position on each item.</p> <p>16.05 The negotiating teams shall meet as necessary to negotiate in good faith towards settlement of the items for negotiation and may amend or alter the lists of items in attempts to reach settlement.</p> <p>16.06 During the course of negotiations, the negotiating teams may ask a mediation officer to join the negotiating sessions with a view to assisting the negotiators reach a settlement. Should it prove impossible to agree to a mediator, the negotiators shall apply to the Director, Mediation Services, Department of Labour, Province of Alberta, requesting that a mediator be appointed.</p>	<p>Article 17: Compensation Negotiations</p> <p>17.1 The Board and the Association shall negotiate a salary schedule and a program of benefits.</p> <p>17.2 Negotiations shall normally be for one-year agreements, but, with the consent of both parties to this Agreement, multiple year agreements may be negotiated.</p> <p>17.3 By November 1 of each academic year in which negotiations are to be undertaken, each party shall inform the other of the names of three persons who shall be the negotiating team. Each team may invite consultants and resource persons to attend negotiating sessions.</p> <p>17.4 By November 15 of each academic year in which negotiations are to be undertaken, each negotiating team shall deliver to the other a list of items upon which it wishes to negotiate, setting forth its position on each item.</p> <p>17.5 The negotiating teams shall meet as necessary to negotiate in good faith towards settlement of the items for negotiation and may amend or alter the lists of items in attempts to reach settlement.</p> <p>17.6 During the course of negotiations, the negotiating teams may ask a mediation officer to join the negotiating sessions with a view to assisting the negotiators reach a settlement. Should it prove impossible to agree to a mediator, the negotiators shall apply to the Province of Alberta, requesting that a mediator be appointed.</p>

<p>16.07 Benefit programs listed in Article 18 and Appendix H which are not amended in negotiations shall remain in effect in the following year.</p> <p>16.08 Where a settlement has been reached, the negotiating teams shall refer it to the Board and to the Association for ratification.</p> <p>16.09 If either the Board or the Association fails to ratify the settlement, the negotiating teams shall be reconvened to attempt to reach a revised settlement; such renegotiations shall not exceed four weeks from the date on which ratification failed.</p> <p>16.10 If the negotiating teams fail to reach a settlement by April 15, or fail to reach a settlement after reconvening under 16.09, the parties shall refer outstanding issues for resolution by final offer selection in accordance with the procedures of Article 26.</p> <p>16.11 All dates and times established by this Article and in 26.10 may be varied by the mutual written consent of the negotiating teams.</p>	<p>17.7 Benefit programs listed in Article 19 and Appendix E which are not amended in negotiations shall remain in effect in the following year.</p> <p>17.8 Where a settlement has been reached, the negotiating teams shall refer it to the Board and to the Association for ratification.</p> <p>17.9 If either the Board or the Association fails to ratify the settlement, the negotiating teams shall be reconvened to attempt to reach a revised settlement; such renegotiations shall not exceed 20 days from the date on which ratification failed.</p> <p>17.10 If the negotiating teams fail to reach a settlement by March 1, or fail to reach a settlement after reconvening under Article 17.9, the parties shall refer outstanding issues for resolution by final offer selection in accordance with the procedures of Article 27.</p> <p>17.11 All dates and times established by this Article and in Article 27.10 may be varied by the mutual written consent of the negotiating teams.</p>
<p>Article 17: Salaries</p>	<p>Article 18: Salaries</p>
<p>17.01 The minimum salary for those staff members who are full-time shall be in accordance with the salary schedule in Appendix I. There are two salary levels:</p> <ul style="list-style-type: none"> a) For those who hold the PhD or equivalent professional qualifications. A staff member who has fulfilled requirements for the PhD, is cleared for convocation, or provides proof of convocation shall be deemed to hold the degree. An adjustment in salary shall be made in the next academic year. b) For those who do not hold the PhD or equivalent professional qualifications. <p>17.02 Subject to 17.03, the minimum salary for a one-term, 3-credit course, for those staff members who are part-time, shall be:</p> <ul style="list-style-type: none"> a) For those who hold the PhD or equivalent professional qualification: 10% of the minimum annual salary on the salary schedule for staff members who are full-time and hold the PhD or equivalent professional qualifications. A staff member who has fulfilled requirements for the PhD, is cleared for convocation, or provides proof of 	<p>18.1 The salary schedule, negotiated in accordance with Article 17.1, shall be in accordance with the Salary Levels and Ranges attached in Appendix E.</p> <p>18.2 Salaries shall be paid monthly in arrears.</p>

convocation shall be deemed to hold the degree. An adjustment in salary shall be made in the next academic year.

- b) For those who do not hold the PhD or equivalent professional qualification: 10% of the minimum annual salary on the salary schedule for staff members who are full-time and do not hold the PhD or equivalent professional qualifications.
- c) For courses which are less than or more than 3-credit, the salary minima are adjusted proportionally.

Special Registrations

17.03.1 The salary for a staff member teaching a 3-credit course through Special Registrations during the Fall and Winter terms shall be the rate provided in accordance with the formula in 17.02. The salary for a staff member teaching a 3-credit course through Special Registrations in Spring and Summer terms shall be the rate provided in accordance with the formula in 17.02 in effect for the previous Fall and Winter terms. If a staff member has a regular teaching appointment in the Fall or Winter terms and has an additional appointment in Special Sessions within the same department, the per course salary rate of the staff member in Special Sessions shall be at the same salary level as the staff member's rate in the previous Winter or Fall term.

17.03.2 If a staff member's regular teaching load during the Fall and Winter terms, when combined with courses taught through Special Registrations during the Fall and Winter terms is considered to be full-time by the staff member's home department, the staff member may be eligible for benefits. It is incumbent upon the staff member to inform his/her home department, of any other courses being taught that would affect the staff member's eligibility for benefits, the cost for which would be pro-rated across departments and Special Registrations.

Minima

17.04.1 The rates in articles 17.01 to 17.02 are minima. Salary levels above the minimum shall continue to be possible.

17.04.2 Salary levels shall be determined and paid in accordance with the guidelines outlined in Appendix G.

Article 18: Benefits	Article 19: Benefits
<p>18.01 The Board and the Association have, through negotiations, provided various benefit programs for staff members. A Benefits Guide shall be published from time to time to provide detailed information about these programs. In the case of insured benefit programs, details of such are subject to the contracts between the Board and the carrier; however, the Association shall be consulted on such contracts and changes thereto and on changes of carriers. A copy of all insurance contracts and other benefit policies shall be provided to the Association.</p>	<p>19.1 Benefits programs, as negotiated from time to time in accordance with Article 17.1, shall be administered in accordance with the advice and direction of the Academic Benefits Management Committee.</p> <p>A description of all benefit programs, approved by the Academic Benefits Management Committee, will be made available to all staff members.</p> <p>19.2 A copy of all insurance contracts and other benefit policies shall be provided to the Association.</p>
Statutory Benefits	Statutory Benefits
<p>18.02 In accordance with federal and provincial statutes, the Board provides statutory benefits, including:</p> <ul style="list-style-type: none"> a) Canada Pension Plan; b) Employment Insurance; and c) Workers' Compensation. 	<p>19.3 When the Board, in accordance with federal and provincial statutes, provides statutory benefits that require contributions from staff members, these contributions shall be deducted from salary.</p>
<p>18.03 If required by law, contributions from staff members to statutory benefits shall be deducted from salary cheques.</p>	
<p>18.04 Except for 18.02 and 18.03 (Statutory Benefits), Article 18 shall not apply to staff members appointed to Special Registrations.</p>	
Vacation	Vacation
<p>18.05.1 Each staff member whose term of appointment is for twelve months or longer shall be entitled to an annual vacation of twenty-two days.</p>	<p>19.4 A staff member with Career and Term 12 Status shall be entitled to an annual vacation of 22 days, which shall be pro-rated accordingly for part-time appointments. The following conditions shall apply:</p>
<p>18.05.2 Each staff member whose appointment is for less than twelve months shall receive pay in lieu of vacation equal to 4 percent of salary payable.</p>	<ul style="list-style-type: none"> a) The time of vacation shall be approved by the Department Chair. If there is a dispute with respect to vacation time, the staff member shall have recourse to the Dean, whose decision shall be final and binding;
<p>18.05.3 The time of vacation shall be approved by the Department Chair. Disputes concerning vacation time shall be referred to the Dean; disputes not resolved by the Dean shall be referred to the Provost for resolution and the decision of the Provost shall be final and binding.</p>	<ul style="list-style-type: none"> b) Every effort shall be made to utilize vacation earned within the year that it has been accrued and unused vacation may be carried forward from year to year only with the advance written consent of the Dean;
<p>18.05.4 Salary in lieu of vacation shall not be paid to staff members except as indicated in 18.05.2 or in the</p>	<ul style="list-style-type: none"> c) A resigning, or retiring, staff member shall receive an amount in lieu of vacation time

<p>event that a staff member leaves the employ of university during a teaching term, in which case the staff member shall be paid vacation earned and not taken since the preceding July 1.</p> <p>18.05.5 Unused vacation time may not be carried forward from year to year without the advance written consent of the Dean.</p>	<p>not taken, but such amount shall not exceed one year's vacation entitlement. The amount shall be based on the salary rate as of the effective date of the resignation or retirement.</p> <p>19.5 A staff member with Term 8R, Term 8 or Instructor Status shall receive pay in lieu of vacation equal to 4 % of salary payable.</p>
<p>Pension</p> <p>18.06.1 A staff member who was appointed to the staff on or after January 1, 2001, whose appointment is for one year or longer and whose annual salary rate is at least 35% of the Yearly Maximum Pensionable Earnings (YMPE) as defined in the Canada Pension Plan, is required to participate in the Universities Academic Pension Plan (UAPP) on appointment.</p> <p>18.06.2 A staff member whose appointment term is less than one year shall participate in the UAPP when:</p> <ol style="list-style-type: none"> a) the staff member has contiguous terms of appointments (without any break between the appointments) which total at least two years at the start of any new contract period; and b) the staff member has earned in respect of the employment with the University of Alberta at least 35% of the YMPE in each of the two consecutive calendar years immediately prior to the date the employee meets the condition in a) above. <p>18.06.3 For staff members appointed prior to January 1, 2001, special arrangements are in effect for UAPP participation.</p>	<p>Universities Academic Pension Plan (UAPP)</p> <p>19.6 A staff member shall be eligible to participate in the UAPP in accordance with the UAPP Sponsorship and Trust Agreement.</p> <p>19.7 The Board and the staff member shall contribute to UAPP, the latter through deductions from salary, in accordance with the UAPP Sponsorship and Trust Agreement.</p>
<p>Benefits</p> <p>18.08 A staff member whose appointment is for 8 months or longer and who is full-time, shall participate in the benefit plans set out in Appendix H, in accordance with eligibility restrictions stated therein. These benefits are Alberta Health Care Insurance, Supplementary Health Care, Professional Expense Reimbursement, Remission of Tuition Fees, Life Insurance, Dental Care, and Long Term Disability Insurance.</p> <p>18.09.1 A staff member whose appointment is either 1) part-time or 2) full-time and less than 8 months in duration is currently not eligible for the benefit programs.</p> <p>18.09.2 Notwithstanding 18.09.1, above, if a staff</p>	<p>Benefits</p> <p>19.8 A full-time staff member with Career, Term 12, Term 8R or Term 8 Status, shall participate in the benefit plans set out in Appendix E, in accordance with eligibility restrictions stated therein.</p> <p>19.9 A part-time staff member with Career or Term Status or with full-time or part-time Instructor Status shall receive pay in lieu of benefits programs equal to 3% of salary payable.</p> <p>19.10 Notwithstanding Article 19.9, if a staff member has concurrent, multiple part-time appointments which together constitute a full-time workload for at least 8 consecutive months, the staff member may be eligible for benefits. It is incumbent upon</p>

<p>member's part-time teaching load during the Fall and Winter terms, when combined with courses taught in other departments or through Special Registrations during the Fall and Winter terms is considered to be full-time by the staff member's home department, the staff member may be eligible for benefits. It is incumbent upon the staff member to inform his/her home department of any other courses being taught that would affect the staff member's eligibility for benefits, the cost for which would be pro-rated across departments and Special Registrations, if applicable.</p>	<p>the staff member to inform their home department of any other appointments that would affect the staff member's eligibility for benefits, the cost for which would be pro-rated across departments.</p>
<p>18.10 In lieu of the benefit programs, the Board shall pay to a staff member whose appointment is part-time or is for less than 8 months in duration, an amount equal to 3% of salary.</p>	
<p>Eligibility</p>	<p>Eligibility</p>
<p>18.11 A staff member who has reached the age of 65 shall not be eligible for benefits under Alberta Health Care, Supplementary Health Care, Dental Care, Life Insurance, and Disability Benefits, and shall be required to coordinate other benefits with benefits provided by governments.</p>	<p>19.11 A staff member who has reached the age of 65 shall not be eligible for benefits under Alberta Health Care, Supplementary Health Care, Dental Care, Life Insurance, and Disability Benefits, and shall be required to coordinate other benefits with benefits provided by governments.</p>
<p>18.12 A staff member who has been granted leave with full pay or childbirth leave shall remain eligible for full participation in the benefit programs under this Article.</p>	<p>19.12 A staff member who has been granted leave with full pay or childbirth leave shall remain eligible for full participation in the benefit programs under this Article.</p>
<p>18.13 A staff member who is not eligible for Alberta Health Care because of a failure to meet residency requirements is not eligible for coverage under Alberta Health Care or Supplementary Health Care. Such a staff member is eligible to participate in the University's Health Insurance Plan as set out in Appendix H in accordance with eligibility restrictions stated therein.</p>	<p>19.13 A staff member who is not eligible for Alberta Health Care because of a failure to meet residency requirements is not eligible for coverage under Alberta Health Care or Supplementary Health Care. Such a staff member is eligible to participate in the University's Health Insurance Plan as set out in Appendix E in accordance with eligibility restrictions stated therein.</p>
<p>Removal Grants</p>	<p>Removal Grants and Allowances</p>
<p>6.06 A staff member appointed on a full-time basis upon appointment may be eligible for a removal grant toward expenses necessarily and reasonably incurred in moving to Edmonton which shall be based on removal from the place of residence. Regulations governing removal grants shall be established from time to time by the Board after consultation with the Association and are appended to this Agreement as Appendix C.</p>	<p>19.14 A full-time staff member with Career or Term Status, upon appointment, may be eligible for a removal grant toward expenses necessarily and reasonably incurred in moving to a new primary residence when relocating from a residence greater than 50 kms from a University campus. Regulations governing removal grants shall be established from time to time by the Board after consultation with the Association and are appended to this Agreement as Appendix E.</p>
	<p>19.14 When circumstances permit, a staff member upon appointment may be eligible for a removal</p>

<p style="text-align: center;">Article 19: Death in Service</p> <p>19.01 In the event of the death of a staff member, the Board shall pay to the staff member’s estate a death benefit equivalent in value to the staff member’s salary for the month in which the staff member dies, plus one additional month’s salary regardless of the month in which the staff member dies, but shall not exceed the salary payable from the date of death to the end of the contract of appointment. Such payment shall be in full payment of salary and vacation entitlement.</p> <p>19.02 Pending further decision of the Board with notice to staff members, the Board shall provide an insurance policy which shall pay to the estate of the staff member or to the staff member the sum of \$100,000.00 for any accident resulting in death or up to \$100,000.00 for any accident resulting in dismemberment or loss of sight in consequence of and during the course of any trip while on University business, subject always to the terms and conditions of the insurance policy. Details may be obtained from the Financial Services Office.</p> <p style="text-align: center;">Article 20: Medical Leave</p> <p>20.01.1 In this Article:</p> <p style="padding-left: 20px;">a) “medical leave” includes leave for sickness, injury, short term disability, consultation with health care professionals and stays in hospitals or other institutions for prescribed medical care when such event prevents the staff member from performing the duties the staff member was performing immediately prior to</p>	<p>allowance toward expenses necessarily and reasonably incurred in moving to a new primary residence when relocating from a residence greater than 50 kms from a University campus. The allowance, to the maximum specified by the Dean, shall be paid upon presentation of an account of expenses supported with appropriate receipts. Regulations governing removal allowances shall be established from time to time by the Board after consultation with the Association.</p> <p>19.15 A staff member who voluntarily leaves the service of the University before rendering 12 months service shall be required to refund a portion of the removal allowance; each month’s regular service (exclusive of leave periods) shall be considered as discharging one twelfth of the obligation. In cases where probationary periods are less than 12 months the obligation shall be discharged in a proportionately shorter period.</p> <p style="text-align: center;">Article 20: Death in Service</p> <p>20.1 In the event of the death of a staff member, the Board shall pay to the staff member’s estate a death benefit equivalent in value to the staff member’s salary for the month in which the staff member dies, plus one additional month’s salary, but shall not exceed the salary payable from the date of death to the end of the contract of appointment. Such payment shall be in full payment of salary and vacation entitlement.</p> <p>20.2 Pending further decision of the Board with notice to staff members, the Board shall provide an insurance policy which shall pay to the estate of the staff member or to the staff member the sum of \$100,000.00 for any accident resulting in death or up to \$100,000.00 for any accident resulting in dismemberment or loss of sight in consequence of and during the course of any trip while on University business, subject always to the terms and conditions of the insurance policy. Details may be obtained from the Financial Services Office.</p> <p style="text-align: center;">Article 21: Medical Leave</p> <p>21.1 In this Article:</p> <p style="padding-left: 20px;">a) Medical leave includes leave for sickness, injury, short term disability, consultation with health care professionals and stays in hospitals or other institutions for prescribed medical care when such event prevents the staff member from performing the duties the staff member was performing immediately</p>
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<p>the commencement of the sickness or injury; and</p> <p>b) “medical certificate” means a certificate verifying the medical condition signed by a qualified physician.</p> <p>20.01.2 In this Article, 20.02 to 20.07 apply to staff members on full-time contracts for 12 months or longer and 20.08 to 20.11 apply to staff on part-time appointments or full-time appointments for fewer than 12 months.</p> <p>20.01.3 Notwithstanding the following, a staff member’s entitlement to medical leave shall not extend beyond the end date of the staff member’s contract of appointment.</p>	<p>prior to the commencement of the sickness or injury; and</p> <p>b) Medical certificate means a certificate verifying the medical condition signed by a qualified physician.</p> <p>21.2 Notwithstanding the following, a staff member’s entitlement to medical leave shall cease on the end date stipulated in the Letter of Appointment.</p>
<p>Staff Members on Full-time Appointments for 12 Months or Longer</p>	<p>Medical Leave for Staff Members with Full-time Career and Term 12 Status</p>
<p>20.02 Medical leave for fewer than 20 days is a departmental matter. The staff member shall inform the Department Chair of the medical leave and provide an estimate of its duration. The Department Chair may require the staff member to provide a medical certificate.</p> <p>20.03 If a staff member has been on medical leave and absent from duties for 20 days or if the staff member expects that the medical leave will result in an absence of more than twenty days, a medical certificate shall be filed with the Department Chair. The medical certificate shall specify the nature of the leave and provide an estimate of the duration of the absence.</p> <p>20.04 The Department Chair shall provide a copy of the medical certificate to the Dean and to the Provost. Subject to 20.13, the Provost shall formally advise the staff member that he or she is on medical leave, with the effective date of the leave to be the date the staff member was first absent from duties as a result of the illness or injury.</p> <p>20.05 During medical leave, the staff member shall remain on full pay and benefits.</p> <p>20.06 A staff member is eligible for medical leave under this Article for no longer than 26 weeks in aggregate for each sickness or injury. A new medical leave is deemed to have occurred if there has been a period of at least 26 consecutive weeks of service following a previously authorized medical leave.</p> <p>20.07 If the medical leave is expected to exceed 26 weeks, in aggregate, the staff member shall apply for disability benefits pursuant to 18.08. If the staff</p>	<p>21.3 Medical leave for fewer than 20 days is a departmental matter. The staff member shall inform the Department Chair of the medical leave and provide an estimate of its duration. The Department Chair may require the staff member to provide a medical certificate.</p> <p>21.4 If a staff member has been on medical leave and absent from duties for 20 days or if the staff member expects that the medical leave will result in an absence of 20 days or more, a medical certificate shall be filed with the Department Chair. The medical certificate shall specify the nature of the leave and provide an estimate of the duration of the absence.</p> <p>21.5 The Department Chair shall provide a copy of the medical certificate to the Dean and to the Provost. Subject to Article 21.13, the Provost shall formally advise the staff member that they are on medical leave, with the effective date of the leave to be the date the staff member was first absent from duties as a result of the illness or injury.</p> <p>21.6 During medical leave, the staff member shall remain on full pay and benefits.</p> <p>21.7 A staff member is eligible for medical leave under this Article for no longer than 26 weeks in aggregate for each sickness or injury. A new medical leave is deemed to have occurred if there has been a period of at least 26 consecutive weeks of service following a previously authorized medical leave.</p> <p>21.8 If the medical leave is expected to exceed 26 weeks, in aggregate, the staff member shall</p>

<p>member's application is approved, the staff member shall be placed on disability leave. If the application is not approved, the staff member shall return to regular responsibilities.</p>	<p>apply for disability benefits. If the staff member's application is approved, the staff member shall be placed on disability leave. If the application is not approved, the staff member shall return to regular responsibilities.</p>
<p>Staff on Part-time Appointments or Full-time Appointments for Fewer Than 12 Months</p>	<p>Medical Leave for Part-time Staff Members with Career or Term 12 Status or with Term 8R, Term 8 or Instructor Status</p>
<p>20.08 Short term medical leave for fewer than 10 days is a departmental matter. The staff member shall inform the Department Chair of the medical leave and provide an estimate of its duration. The Department Chair may require the staff member to provide a medical certificate.</p>	<p>21.9 Short term medical leave for fewer than 10 days is a departmental matter. The staff member shall inform the Department Chair of the medical leave and provide an estimate of its duration. The Department Chair may require the staff member to provide a medical certificate.</p>
<p>20.09 If a staff member has been on medical leave and absent from duties for 10 days, or if the staff member expects that the medical leave will result in an absence of more than 10 days, a medical certificate shall be filed with the Department Chair and the staff member shall apply for benefits in accordance with the provisions of the Employment Insurance Act. The staff member shall be placed on medical leave without pay.</p>	<p>21.10 If a staff member has been on medical leave and absent from duties for 10 days, or if the staff member expects that the medical leave will result in an absence of 10 days or more, a medical certificate shall be filed with the Department Chair and the staff member shall apply for benefits in accordance with the provisions of the Employment Insurance Act.</p>
<p>20.10 The Department Chair shall provide a copy of the medical certificate to the Dean and to the Provost. Subject to 20.13, the Provost shall formally advise the staff member that he or she is on medical leave, with the effective date of the leave to be the date the staff member was first absent from duties as a result of the illness or injury.</p>	<p>21.11 The Department Chair shall provide a copy of the medical certificate to the Dean and to the Provost. Subject to Article 21.13, the Provost shall formally advise the staff member that they are on medical leave, with the effective date of the leave to be the date the staff member was first absent from duties as a result of the illness or injury.</p>
<p>20.11 The period of leave on full pay and benefits is limited to a maximum of 10 days.</p>	<p>21.12 The period of leave on full pay and benefits is limited to a maximum of 10 days. For any medical leave greater than 10 days, the staff member shall be placed on medical leave without pay or benefits.</p>
<p>Recurrent Illnesses</p>	<p>Recurrent Illnesses for all Staff Members</p>
<p>20.12 A staff member is eligible for medical leave under this Article for no longer than 26 weeks in aggregate for each sickness or injury. A new medical leave is deemed to have occurred if there has been a period of at least 26 weeks of service following a previously authorized medical leave.</p>	<p>21.13 If there is doubt about the medical capability of the staff member to perform the regular University responsibilities, the staff member or the Department Chair may recommend to the Provost that the staff member be examined by a qualified physician. After consultation with the Association, the Provost may require that the staff member be examined by a qualified physician selected by the Provost.</p>
<p>20.13 If there is doubt about the medical capability of the staff member to perform the regular University responsibilities, the staff member or the Department Chair may recommend to the Provost that the staff member be examined by a qualified physician. After consultation with the Association, the Provost may require that the staff member be examined by a qualified physician selected by the Provost.</p>	<p>21.14 Following examination of the staff member, the qualified physician shall submit a report to the Provost on the medical condition of the staff member, including a statement as to whether or not the staff member is medically capable of performing the responsibilities of the staff</p>

<p>20.14 Following examination of the staff member, the qualified physician shall submit a report to the Provost on the medical condition of the staff member, including a statement as to whether or not the staff member is medically capable of performing the responsibilities of a staff member and, if not, an estimate of when the staff member would be able to resume those responsibilities.</p> <p>20.15 If a medical examination is required under 20.13, the staff member shall authorize the release of any medical records to the qualified physician selected from any previous medical examinations should the physician so request. The staff member shall also authorize the examining physician to release the medical report referred to in 20.14.</p> <p>20.16 Upon receipt of the report of the qualified physician, the Provost shall take appropriate action including, but not restricted to, the following:</p> <ul style="list-style-type: none"> a) placing the staff member on medical leave; b) requiring the staff member to continue on Medical leave; c) requiring the staff member to perform regular University responsibilities; d) requiring the staff member to apply for disability benefits; e) requiring the staff member to participate in any treatment program prescribed by the qualified physician. 	<p>member and, if not, an estimate of when the staff member would be able to resume those responsibilities.</p> <p>21.15 If a medical examination is required under Article 21.13, the staff member shall authorize the release of any medical records to the qualified physician selected from any previous medical examinations should the physician so request. The staff member shall also authorize the examining physician to release the medical report referred to in Article 21.14.</p> <p>21.16 Upon receipt of the report of the qualified physician, the Provost shall take appropriate action including, but not restricted to, the following:</p> <ul style="list-style-type: none"> a) Placing the staff member on medical leave; b) Requiring the staff member to continue on medical leave; c) Requiring the staff member to perform regular University responsibilities; d) Requiring the staff member to apply for disability benefits; or e) Requiring the staff member to participate in any treatment program prescribed by the qualified physician.
<p style="text-align: center;">Article 21: Leaves</p> <p>Childbirth Leave</p> <p>21.01.1 For the purposes of 21.01 to 21.09, “EI” shall mean “Employment Insurance” or “Human Resources and Skills Development Canada – Employment Insurance.”</p> <p>21.01.2 Notwithstanding the following, a staff member’s entitlement to childbirth leave shall not extend beyond the end date of the staff member’s contract of appointment.</p> <p>Purpose</p> <p>21.02 The purpose of childbirth leave is to provide a female staff member with leave for the purpose of bearing a child.</p> <p>Length of Leave</p> <p>21.03 A female staff member shall be entitled to childbirth leave of up to 15 weeks in accordance with the provisions of this Article.</p>	<p style="text-align: center;">Article 22: Leaves</p> <p>Childbirth and Parental Leave</p> <p>22.1 For the purposes of this article EI shall mean Employment Insurance or Human Resources and Skills Development Canada – Employment Insurance.</p> <p>22.2 Notwithstanding the following, a staff member’s entitlement to childbirth and parental leaves shall end on the date stipulated in the Letter of Appointment.</p> <p>22.3 For Term 8R Status, a staff member’s entitlement to childbirth and parental leaves shall end on the active service period end-date.</p> <p>Birth Mother Leave</p> <p>22.4 A staff member who is a birth mother shall be entitled to one year of leave for childbirth, including a combination of childbirth leave and unpaid parental leave.</p>

<p>Application</p> <p>21.04 A female staff member who intends to apply for childbirth leave shall inform her Department Chair in writing as soon as possible. The Department Chair shall so advise the Dean and the Provost and the latter shall formally advise the staff member that she has been granted childbirth leave and the terms thereof.</p> <p>21.05 A staff member who wishes childbirth leave shall formally apply for EI Maternity Benefits on or about the last day of active work and shall present to the University the decision of EI and the terms thereof as soon as that decision has been reached.</p> <p>21.06 If EI does not approve the application under 21.05, childbirth leave shall not be granted with Top Up Benefits.</p> <p>Top Up Benefits Payments</p> <p>21.07 The Top Up Benefits payments to a staff member who has been granted childbirth leave shall be as follows:</p> <p>a) If EI has determined that there shall be a two-week waiting period before EI Maternity Benefits begin, the staff member's Top Up payments during the two-week period shall be 95% of regular salary (less deductions) to be funded, in full, by the University's Top Up Benefits plan. For the balance of the period of childbirth leave (up to 13 weeks), the staff member's Top Up payments shall consist of EI Maternity Benefits plus Top Up payments from the University with such payments to be sufficient to bring total benefits payments to 95% of regular salary.</p> <p>b) If EI has determined that there will not be a waiting period before EI Maternity Benefits begin, the staff member's benefits payments (up to 15 weeks) shall consist of EI Maternity Benefits plus Top Up payments from the University with such Top Up payments to be sufficient to bring total benefits payments to 95% of regular salary.</p>	<p>22.5 A staff member who is a birth mother shall be entitled to childbirth leave of up to 15 weeks in accordance with the provisions of this Article.</p> <p>Parental Leave</p> <p>22.6 A staff member shall be entitled to unpaid parental leave of up to 37 weeks in accordance with the provisions of this Article.</p> <p>Application</p> <p>22.7 A staff member who intends to apply for childbirth leave shall inform the Department Chair in writing as soon as possible. The Department Chair shall so advise the Dean and the Provost and the latter shall formally advise the staff member that they have been granted childbirth leave and the terms thereof.</p> <p>22.8 A staff member who intends to take childbirth leave shall formally apply for EI Maternity Benefits on or about the last day of active work and shall present to the University the decision of EI and the terms thereof as soon as that decision has been reached.</p> <p>Top Up Benefits Payments</p> <p>22.9 If EI does not approve the application under Article 22.8, Top Up Benefits shall not be granted with the childbirth leave.</p> <p>22.10 The Top Up Benefits payments to a staff member who has been granted childbirth leave shall be as follows:</p> <p>a) If EI has determined that there shall be a two-week waiting period before EI Maternity Benefits begin, the staff member's Top Up payments during the two-week period shall be 95% of regular salary (less deductions) to be funded, in full, by the Department. For the balance of the period of childbirth leave (up to 13 weeks), the staff member's Top Up payments shall consist of EI Maternity Benefits plus Top Up payments from the Department with such payments to be sufficient to bring total benefits payments to 95% of regular salary.</p> <p>b) If EI has determined that there will not be a waiting period before EI Maternity Benefits begin, the staff member's benefits payments (up to 15 weeks) shall consist of EI Maternity Benefits plus Top Up payments from the University with such Top</p>
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<p>21.08 c) Full coverage under the benefits listed in 18.08 or 18.09. A staff member who is in receipt of EI Maternity Benefits under 21.07 shall provide documentary evidence to the University of entitlement to such benefits. Such documentation shall be required to authorize release of Top Up payments under 21.07.</p> <p>21.09 Notwithstanding the provisions of 21.03, where a staff member whose physician certifies that, for medical reasons, the staff member should be absent from University duties for more than the 15 weeks provided under Childbirth Leave, an extension of that leave shall be permitted if EI approves an application by the staff member for such an extension. Should this occur, the staff member shall receive additional EI Maternity Benefits and payments under the Top Up Benefits plan shall continue under 21.07 until the expiry of EI Maternity Benefits.</p>	<p>Up payments to be sufficient to bring total benefits payments to 95% of regular salary.</p> <p>c) Full coverage under the benefits listed in Article 19.8 or 19.10.</p> <p>22.11 A staff member who is in receipt of EI Maternity Benefits under Article 22.8 shall provide documentary evidence to the University of entitlement to such benefits. Such documentation shall be required to authorize release of Top Up payments under Article 22.10.</p> <p>22.12 Notwithstanding the provisions of Article 22.5, where a staff member whose physician certifies that, for medical reasons, the staff member should be absent from University duties for more than the 15 weeks provided under Childbirth Leave, an extension of that leave shall be permitted if EI approves an application by the staff member for such an extension. Should this occur, the staff member shall receive additional EI Maternity Benefits <u>when applicable</u> and payments under the Top Up Benefits plan shall continue under Article 22.10 until the expiry of EI Maternity Benefits.</p>
<p>Other Leaves</p> <p>21.10 The Provost may grant leave with pay, with partial pay, or without pay to staff members for prescribed periods and purposes.</p> <p>21.11 The Provost may approve secondment of staff members to other employers or agencies.</p> <p>21.12 A staff member may apply for such leave or for secondment to the Provost who shall:</p> <ul style="list-style-type: none"> a) obtain and consider the recommendations of the Department Chair and the Dean; and b) determine whether or not to approve the application. The decision of the Provost shall be final and binding. 	<p>Other Leaves</p> <p>22.13 The Provost may grant leave with pay, with partial pay, or without pay to staff members for prescribed periods and purposes.</p> <p>22.14 The Provost may approve secondment of staff members to other employers or agencies.</p> <p>22.15 A staff member may apply for such leave or for secondment to the Provost who shall:</p> <ul style="list-style-type: none"> a) Obtain and consider the recommendations of the Department Chair and the Dean; and b) Determine whether or not to approve the application. The decision of the Provost shall be final and binding.
<p>Article 22: General Liability Insurance</p> <p>22.01 The Board has in place a General Liability Insurance Policy to protect the University and its staff members against certain risks to certain limits. A copy of the Policy shall be delivered to the Association. The Board continues to review the Policy to vary coverages and limits. Staff members are encouraged to apprise themselves of the existing University coverage and, where University coverage is not adequate to the needs of individual staff members, such staff members shall make their own insurance arrangements.</p>	<p>Article 23: General Liability Insurance</p> <p>23.1 The Board has in place a General Liability Insurance Policy to protect the University and its staff members against certain risks to certain limits. A copy of the Policy shall be delivered to the Association. The Board continues to review the Policy to vary coverages and limits. Staff members are encouraged to apprise themselves of the existing University coverage and, where University coverage is not adequate to the needs of individual staff members, such staff members shall make their own insurance</p>

<p style="text-align: center;">Article 10: Copyright</p> <p>10.01 The University shall be the owner of the copyright and of all copyright works produced by a staff member who has been engaged by the University to prepare such works for the University or part of whose normal responsibilities to the University is the preparation of such works.</p> <p>10.02 Annexed hereto is Appendix E (Copyright Regulations) which sets forth the rights, duties, and obligations of the University and of the staff member with respect to the copyright and other rights in works produced by staff members.</p> <p>10.03 Except for the cases referred to in 10.01 and subject always to the applicability of Appendix E, the University waives, disclaims and abandons all right, title, interest or estate in a copyright work produced by a staff member.</p> <p>10.04 Staff members are encouraged to enter into separate copyright agreements with the University and Appendix E shall apply only in those cases where individual contracts have not in fact been negotiated and executed.</p>	<p>arrangements.</p> <p style="text-align: center;">Article 24: Copyright</p> <p>24.1 Pursuant to the <i>Post-Secondary Learning Act</i> (Alberta), unless otherwise agreed to by the University, the ownership of any work, information or material, regardless of form, including any copyright acquired or produced by an employee of the University that results from or is connected with the employee's duties or employment, vests in the University and may be made available to the public under conditions, on payment of fees or royalties, as the University may determine.</p> <p>24.2 The University hereby agrees that a staff member who creates a Work resulting from or connected with the staff member's duties or employment owns copyright of the Works.</p> <p>24.3 Notwithstanding 24.2, the University will own or have interest in certain Works, as described in Appendix F.</p> <p>24.4 Appendix F contains the detailed terms regarding Works created by a staff member.</p>
<p style="text-align: center;">Article 11: Patents</p> <p>11.01 A discovery or invention made by a staff member, which has patent possibilities, may be patented in accordance with the University Patent Policy (Appendix F) either through individual application or through the University.</p> <p>11.02 The provisions of the University Patent Policy shall apply to the sharing of revenues earned from a patent and to other questions arising from an application by the staff member.</p>	<p style="text-align: center;">Article 25: Patents</p> <p>25.1 A discovery or invention made by a staff member, which has patent possibilities, may be patented in accordance with the University Patent Policy (Appendix G) either through individual application or through the University.</p> <p>25.2 The provisions of the University Patent Policy shall apply to the sharing of revenues earned from a patent and to other questions arising from an application by the staff member</p>
<p style="text-align: center;">Article 25: Interpretation</p> <p>25.01 Either the Association or the Board may refer questions of interpretation of this Agreement, in writing, to ARC.</p> <p>25.02 ARC shall meet within 30 days to consider the issue referred for interpretation.</p> <p>25.03 If ARC reaches an agreement on a resolution, its interpretation shall govern this Agreement. An interpretation shall be communicated in writing to the Board and the Association.</p> <p>25.04 If ARC is unable to agree, the Board or the Association may refer the question for arbitration, in accordance with Article 26.</p> <p style="text-align: center;">Article 26: Arbitration</p>	<p style="text-align: center;">Article 26: Interpretation</p> <p>26.1 Either the Association or the Board may refer questions of interpretation of this Agreement, in writing, to ARC.</p> <p>26.2 ARC shall meet within 30 days to consider the issue referred for interpretation.</p> <p>26.3 If ARC reaches an agreement on a resolution, its interpretation shall govern this Agreement. An interpretation shall be communicated in writing to the Board and the Association.</p> <p>26.4 If ARC is unable to agree, the Board or the Association may refer the question for arbitration, in accordance with Article 27.</p>

<p>Scope and Authority</p> <p>26.01 The procedures in this Article shall apply to matters referred to arbitration in this Agreement as contemplated by section 87(3) (b and c) of the <u>Post Secondary Learning Act</u>. Specifically, these matters include disputes on differences arising from the procedures of Article 16 (Compensation Negotiations), Article 14 (Complaints), Article 24 (Grievance), and Article 25 (Interpretation).</p> <p>Appointment of Arbitrator</p> <p>26.02 A matter referred to arbitration under this Article shall be heard by a single arbitrator except for those matters where the Board and the Association agree, in referring a matter to arbitration, to a three person arbitration board. Hereinafter all references to “arbitrator” shall be deemed to include an arbitration board.</p> <p>26.03 The arbitrator shall be appointed by agreement of the parties. Failing agreement, either party may apply to the Chairman of the Labour Relations Board, Department of Labour, Province of Alberta, for the appointment of the arbitrator.</p> <p>Authority of the Arbitrator</p> <p>26.04 The arbitrator shall have authority to hear the case, to receive and to examine evidence, to administer oaths, and to compel attendance of witnesses and production of documents.</p> <p>26.05 An arbitrator who, before or during an arbitration, becomes aware of circumstances that may give rise to a reasonable apprehension of bias shall disclose the circumstances to the parties.</p> <p>26.06 The arbitrator may rule on questions of law and of jurisdiction that arise before or during an arbitration, and may rule on any objection that is raised during an arbitration.</p> <p>Decisions of the Arbitrator</p> <p>26.07 The arbitrator shall hear and determine the dispute and issue a decision which shall be final and binding.</p> <p>26.08 Where a matter is heard by an arbitration board, the decision of the majority shall be the decision of the arbitration board; if no majority exists, the decision of the person chairing the board shall be the decision of the board.</p>	<p style="text-align: center;">Article 27: Arbitration</p> <p>Scope and Authority</p> <p>27.1 The procedures in this Article shall apply to matters referred to arbitration in this Agreement as contemplated by section 87(3) (b and c) of the <i>Post-Secondary Learning Act</i> (Alberta).</p> <p>Appointment of Arbitrator</p> <p>27.2 A matter referred to arbitration under this Article shall be heard by a single arbitrator except for those matters where the Board and the Association agree, in referring a matter to arbitration, to a three person arbitration board. Hereinafter all references to “arbitrator” shall be deemed to include an arbitration board.</p> <p>27.3 The arbitrator shall be appointed by agreement of the parties. Failing agreement, either party may apply to the Chairman of the Labour Relations Board, Department of Labour, Province of Alberta, for the appointment of the arbitrator.</p> <p>Authority of the Arbitrator</p> <p>27.4 The arbitrator shall have authority to hear the case, to receive and to examine evidence, to administer oaths, and to compel attendance of witnesses and production of documents.</p> <p>27.5 An arbitrator who, before or during an arbitration, becomes aware of circumstances that may give rise to a reasonable apprehension of bias shall disclose the circumstances to the parties.</p> <p>27.6 The arbitrator may rule on questions of law and of jurisdiction that arise before or during arbitration, and may rule on any objection that is raised during arbitration.</p> <p>Decisions of the Arbitrator</p> <p>27.7 The arbitrator shall hear and determine the dispute and issue a decision which shall be final and binding.</p> <p>27.8 Where a matter is heard by an arbitration board, the decision of the majority shall be the decision of the arbitration board; if no majority exists, the decision of the person chairing the board shall</p>
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<p>Arbitration Arising from Article 16</p> <p>26.09 In disputes arising from Article 16, the arbitrator shall select one of the final positions submitted to arbitration by the negotiating teams.</p> <p>26.10 Within 15 days of the date that the arbitrator has been appointed, each negotiating team shall deliver to each other and to the arbitrator a statement of its final position on unresolved items in negotiation and of any items resolved during the negotiations.</p> <p>Timing of Arbitration</p> <p>26.11 As soon as the arbitrator has been appointed, the arbitrator shall proceed to appoint a time and place for hearing the matter.</p> <p>26.12 The arbitrator shall attempt to complete the hearing within thirty days of appointment, but shall give the parties not less than 10 days' notice of the time and place of the hearing.</p> <p>26.13 The arbitrator shall furnish to the parties a written decision as soon after the conclusion of the hearings as possible.</p> <p>Procedures of Arbitration</p> <p>26.14 Except as required by this Agreement, the arbitrator shall determine procedures for the arbitration.</p> <p>26.15 The hearings before the arbitrator shall be in private.</p> <p>26.16 The onus in cases of discipline shall be upon the representatives of the Board to establish, on the balance of probabilities, that the decision reached was appropriate under the circumstances.</p> <p>26.17 An arbitrator may require that, prior to the hearing, the parties submit written statements of the facts supporting their position, the points at issue, and the relief sought.</p> <p>26.18 Subject to the arbitrator's discretion in ruling on the admissibility and relevance of evidence, the parties may submit, with their statements, the documents they consider relevant or may refer to the documents or the evidence they intend to submit.</p> <p>26.19 The parties may amend or supplement their statement during arbitration but the arbitrator may not accept such material (1) if it is the opinion of the arbitrator that, with the exercise of reasonable diligence, the party seeking to amend or supplement their statement could have presented it</p>	<p>be the decision of the board.</p> <p>Arbitration Arising from Article 17</p> <p>27.9 In disputes arising from Article 17, the arbitrator shall select one of the final positions submitted to arbitration by the negotiating teams.</p> <p>27.10 Within 15 days of the date that the arbitrator has been appointed, each negotiating team shall deliver to each other and to the arbitrator a statement of its final position on unresolved items in negotiation and of any items resolved during the negotiations.</p> <p>Timing of Arbitration</p> <p>27.11 As soon as the arbitrator has been appointed, the arbitrator shall proceed to appoint a time and place for hearing the matter.</p> <p>27.12 The arbitrator shall attempt to complete the hearing within thirty days of appointment, but shall give the parties not less than 10 days' notice of the time and place of the hearing.</p> <p>27.13 The arbitrator shall furnish to the parties a written decision as soon after the conclusion of the hearings as possible.</p> <p>Procedures of Arbitration</p> <p>27.14 Except as required by this Agreement, the arbitrator shall determine procedures for the arbitration.</p> <p>27.15 The hearings before the arbitrator shall be in private.</p> <p>27.16 The onus in cases of discipline shall be upon the representatives of the Board to establish, on the balance of probabilities, that the decision reached was appropriate under the circumstances.</p> <p>27.17 An arbitrator may require that, prior to the hearing, the parties submit written statements of the facts supporting their position, the points at issue, and the relief sought.</p> <p>27.18 Subject to the arbitrator's discretion in ruling on the admissibility and relevance of evidence, the parties may submit, with their statements, the documents they consider relevant or may refer to the documents or the evidence they intend to submit.</p> <p>27.19 The parties may amend or supplement their statement during arbitration but the arbitrator may not accept such material (1) if it is the</p>
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<p>to the arbitrator at an earlier time or (2) if acceptance of the material would unduly prejudice the other party.</p> <p>26.20 The parties may present their cases orally with the permission of the arbitrator.</p> <p>26.21 The arbitrator is not bound by the laws of evidence and the procedures of court nor is the arbitrator required to have witnesses sworn and, not so as to restrict the generality of the foregoing, the arbitrator may, in the arbitrators discretion and after the arbitrator is satisfied that it is not reasonably practical to have the witness give evidence in person, accept as evidence a statutory declaration from that witness.</p> <p>26.22 The arbitrator shall have the right to call witnesses and procure materials in addition to the witnesses called or the materials submitted by the parties.</p> <p>Costs of Arbitration</p> <p>26.23 The Board and the Association shall share equally the fees and expenses of the arbitrator.</p> <p>26.24 Each party shall bear its own costs of presentation to the arbitrator.</p> <p>Enforcement of Award</p> <p>26.25 Either party shall be entitled to make application to an appropriate court for enforcement of a decision made under this Agreement.</p>	<p>opinion of the arbitrator that, with the exercise of reasonable diligence, the party seeking to amend or supplement their statement could have presented it to the arbitrator at an earlier time or (2) if acceptance of the material would unduly prejudice the other party.</p> <p>27.20 The parties may present their cases orally with the permission of the arbitrator.</p> <p>27.21 The arbitrator is not bound by the laws of evidence and the procedures of court nor is the arbitrator required to have witnesses sworn and, not so as to restrict the generality of the foregoing, the arbitrator may, in the arbitrators discretion and after the arbitrator is satisfied that it is not reasonably practical to have the witness give evidence in person, accept as evidence a statutory declaration from that witness.</p> <p>27.22 The arbitrator shall have the right to call witnesses and procure materials in addition to the witnesses called or the materials submitted by the parties.</p> <p>Costs of Arbitration</p> <p>27.23 The Board and the Association shall share equally the fees and expenses of the arbitrator.</p> <p>27.24 Each party shall bear its own costs of presentation to the arbitrator.</p> <p>Enforcement of Award</p> <p>27.25 Either party shall be entitled to make application to an appropriate court for enforcement of a decision made under this Agreement.</p>
<p>Appendix D: Conditions for Supplementary Professional Activities (SPA)</p> <p>1.1 The authority and approval of SPA is subject to the following conditions:</p> <ul style="list-style-type: none"> a) The staff member shall not compete unfairly with professionals outside the University. b) The SPA shall not infringe upon the University's conflict of interest guidelines. (GFC Policy Manual Section 120.3) c) The SPA shall conform with regulations governing the use of University facilities and staff. d) The staff member shall indemnify and hold harmless the University from and against any loss, injury or damage which the University may or could suffer arising in any way out of 	<p style="text-align: center;">APPENDIX D: Conditions for Supplementary Professional Activities (SPA)</p> <p>1. The authority and approval of SPA is subject to the following conditions:</p> <ul style="list-style-type: none"> a) The staff member shall not compete unfairly with professionals outside the University. b) The SPA shall not infringe upon the University's conflict policy and related procedures and protocols, as amended from time to time. c) The SPA shall conform with the University's related policies, procedures

<p>or in relation to such activities. The staff member gives this covenant and makes this agreement notwithstanding that the University has participated in such activities by the provision of facilities, space, equipment, or administrative assistance, unless the said loss, injury or damage arises directly from a malfunction of the said facilities or equipment which is not caused by the user thereof; and notwithstanding that the University has participated in such SPA by the provision of students or postdoctoral fellows or the like; and notwithstanding that any formal contract with respect to those SPA has not been negotiated by or approved by the University.</p> <p>e) When engaged in SPA a staff member shall not use the name of the University in any way, except as the mailing address, nor shall the staff member hold himself or herself to be an agent of the University when engaged in SPA.</p> <p>1.2 SPA shall be taken into account in the evaluation of a staff member's performance for tenure, increments and promotions.</p> <p>1.3 The following information shall be provided in the staff member's annual statement on SPA:</p> <ul style="list-style-type: none"> a) the category or type of client or affiliation; b) the nature of services performed; c) an estimate of the total time devoted to each SPA; and d) the names and nature of any continuing contractual arrangements with outside organizations. <p>Instructional Staff</p> <p>2.1 This clause 2 shall apply to full-time instructional staff members.</p> <p>2.2 SPA shall represent an integral part of the responsibility to relate theory to practice, thereby enabling teaching to remain professionally relevant. Routine, repetitive and trivial SPA are discouraged.</p> <p>Required SPA</p> <p>2.3 A Faculty Council may deem SPA, and the</p>	<p>and protocols related to the use of University facilities and staff, as amended from time to time.</p> <p>d) The staff member shall indemnify and hold harmless the University from and against any loss, injury or damage which the University may or could suffer arising in any way out of or in relation to such activities. The staff member gives this covenant and makes this agreement notwithstanding that the University has participated in such activities by the provision of facilities, space, equipment, or administrative assistance, unless the said loss, injury or damage arises directly from a malfunction of the said facilities or equipment which is not caused by the user thereof; and notwithstanding that the University has participated in such SPA by the provision of students or postdoctoral fellows or the like; and notwithstanding that any formal contract with respect to those SPA has not been negotiated by or approved by the University.</p> <p>e) When engaged in SPA a staff member shall not use the name of the University in any way, except as the mailing address, nor shall the staff member hold himself or herself to be an agent of the University when engaged in SPA.</p> <p>2. SPA shall be taken into account in the evaluation of a staff member's performance for increments and promotion.</p> <p>3. The following information shall be provided in the staff member's annual statement on SPA:</p> <ul style="list-style-type: none"> a) the category or type of client or affiliation; b) the nature of services performed; c) an estimate of the total time devoted to each SPA; and d) the names and nature of any continuing contractual arrangements with outside organizations. <p>4. SPA shall represent an integral part of the responsibility to relate theory to practice, thereby enabling teaching and/or teaching-related responsibilities to remain professionally relevant. Routine, repetitive and trivial SPA is discouraged.</p> <p>Required SPA</p> <p>5. A Faculty Council may deem SPA, and the</p>
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<p>maintenance of a professional license, to be essential to the work of the Department and to the progress of a staff member’s career. In such cases the Dean and Department Chair shall encourage SPA.</p> <p>2.4 Where a Faculty Council has deemed SPA to be essential to the work of the Department, the Faculty Council shall recommend to the Board that such SPA be considered as part of the primary University responsibilities. The Board may approve such recommendations on such conditions as it deems appropriate, having regard to 1.1.</p> <p>Major SPA</p> <p>2.5 SPA may be categorized as major or minor in scope. Each Faculty Council shall decide what constitutes major SPA but all proposals to teach at another institution shall be considered major SPA.</p> <p>Reporting Requirements</p> <p>2.6 Each staff member shall submit an annual statement to the Department Chair and Dean on SPA in the previous year. The Department Chair shall submit his or her personal statement to the Dean. The Dean shall submit his or her personal statement to the Provost.</p> <p>2.7 The period covered by the annual statement and the date on which it is to be submitted may vary from Faculty to Faculty with this decision being made, from time to time, by the Faculty Council.</p> <p>2.8 The annual statement may be made in conjunction with the annual report of the staff member or it may be a separate statement. Each Faculty Council shall determine, from time to time, which is the appropriate method for that Faculty.</p> <p>2.9 Each Faculty Council shall develop the format for the annual statement for that Faculty and submit to the Vice-President for approval.</p> <p>2.10 Decisions reached by a Faculty Council under this Article shall be conveyed, in writing, to the Vice-President and the Association.</p> <p>Faculty Regulations</p> <p>2.11 Each Faculty Council shall develop regulations with respect to SPA. The regulations and any amendments thereto shall be filed with the Vice-President and the Association. The regulations shall include:</p> <p>a) The definition of what constitutes major SPA.</p>	<p>maintenance of a professional license, to be essential to the work of the Department and to the progress of a staff member’s career. In such cases the Dean and Department Chair shall encourage SPA.</p> <p>6. Where a Faculty Council has deemed SPA to be essential to the work of the Department, the Faculty Council shall recommend to the Board that such SPA be considered as part of the primary University responsibilities. The Board may approve such recommendations on such conditions as it deems appropriate, having regard to 1.a.</p> <p>Major SPA</p> <p>7. SPA may be categorized as major or minor in scope. Each Faculty Council shall decide what constitutes major SPA but all proposals to teach at another institution shall be considered major SPA.</p> <p>Reporting Requirements</p> <p>8. Each staff member shall submit an annual statement to the Department Chair and Dean on SPA in the previous year. The Department Chair shall submit his or her personal statement to the Dean.</p> <p>9. The period covered by the annual statement and the date on which it is to be submitted may vary from Faculty to Faculty with this decision being made, from time to time, by the Faculty Council.</p> <p>10. The annual statement may be made in conjunction with the annual report of the staff member or it may be a separate statement. Each Faculty Council shall determine, from time to time, which is the appropriate method for that Faculty.</p> <p>11. Each Faculty Council shall develop the format for the annual statement for that Faculty and submit to the Provost for approval.</p> <p>12. Decisions reached by a Faculty Council under this Article shall be conveyed, in writing, to the Provost and the Association.</p> <p>Faculty Regulations</p> <p>13. Each Faculty Council shall develop regulations with respect to SPA. The regulations and any amendments thereto shall be filed with the Provost and the Association. The regulations shall include:</p> <p>a) The definition of what constitutes major</p>
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<p>b) The format for the annual statement of SPA; the determination of the time period covered by the report; the date by which the report is to be submitted and whether the annual statement about SPA shall be included in the annual report.</p> <p>c) Any modifications to the requirement that SPA be taken into account in the evaluation of a staff member's performance.</p> <p>d) Whether the time of year, week or day when SPA is performed is important to its approval and reporting.</p> <p>e) Whether the annual statement shall include information about remuneration received from SPA.</p> <p>f) Regulations governing the use of University facilities and staff for SPA including arrangements to reimburse the University for such use.</p> <p>g) What evidence shall be required to ensure the staff member has adequate personal liability insurance to indemnify the University against any claims.</p> <p>h) Such additional terms and conditions the Faculty Council may consider necessary; such terms and conditions shall be in addition to and not in contradiction to this Article.</p>	<p>SPA.</p> <p>b) The format for the annual statement of SPA; the determination of the time period covered by the report; the date by which the report is to be submitted and whether the annual statement about SPA shall be included in the annual report.</p> <p>c) Any modifications to the requirement that SPA be taken into account in the evaluation of a staff member's performance.</p> <p>d) Whether the time of year, week or day when SPA is performed is important to its approval and reporting.</p> <p>e) Whether the annual statement shall include information about remuneration received from SPA.</p> <p>f) Regulations governing the use of University facilities and staff for SPA including arrangements to reimburse the University for such use.</p> <p>g) What evidence shall be required to ensure the staff member has adequate personal liability insurance to indemnify the University against any claims.</p> <p>h) Such additional terms and conditions the Faculty Council may consider necessary; such terms and conditions shall be in addition to and not in contradiction to this Appendix</p>
<p style="text-align: center;">APPENDIX I: INTERPRETATION AND TRANSITION</p> <p>The parties agree that:</p> <ol style="list-style-type: none"> 1. An Interpretation Committee will be established and will meet regularly from July 1, 2017 to June 30, 2019 in order to monitor, review and update language based upon our experiences with the implementation of this new Agreement; 2. The Interpretation Committee will specifically monitor and review the implementation of the definitions of Appointments established in Article 6 to ensure that there is sufficient clarity and to recommend additional clarification in order to alleviate any confusion; 3. By September 1, 2017, the Interpretation Committee will provide recommendations to the 	

Provost for his/her information concerning the membership composition of ATSEC, keeping in mind the models already established below and the principles of (a) appropriate and proportional elected membership from all staff members (when possible) under this Agreement; (b) representation from tenured faculty; and (c) the appointment of an external member such as from PRC;

4. Departments will require assistance to transition to the new Appointment categories and Human Resource Services and Faculty and Staff Relations will be providing that assistance. Appropriate transition time is required;
5. Procedures will be developed, as required, to effectively and consistently manage Probationary Periods, Evaluation, Promotion, Unsatisfactory and Unacceptable Performance;
6. Current Salary Schedules and Benefits Programs will remain intact until Compensation Negotiations make any changes;
7. If a Faculty is currently able to improve the terms of the Agreement (as through previous appropriate consultations under the CAS:T Agreement) then they may continue to do so (e.g. removal allowance, scholarly leaves, etc.). The Faculty must continue to ensure internal equity is maintained. Details of the variation from the Agreement should be included in the special conditions section of the appointment letter and approved by the Office of the Provost.
8. The first review of the Faculty's position expectations and standards of performance under Article 10.14 will be completed by June 30, 2022.

Current Models of Membership:

Nursing (Faculty Lecturer Evaluation Committee)

- FEC Chair to be Chair of FLEC;
- Associate Dean, Undergraduate Programs, ex officio;
- FEC members, except for the Dean and the PRC member;
- 6 Faculty Lecturers, elected by Faculty Lecturers; and
- Human Resources Officer (Resource).

Physical Education and Recreation (Coaches Evaluation Committee)

- Dean to be Chair of CEC;
- Director of Athletics;
- Associate Athletic Director(s) (non-voting);

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| | <ul style="list-style-type: none">- 3 Head Coaches at a minimum rank of Senior Coach, elected by Faculty Council;- 1 full-time academic staff member (non-coaching) elected by Faculty Council;- 1 external AASUA member appointed by the Chair, from recommendations received from Coaches. |
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THE UNIVERSITY OF ALBERTA

AGREEMENT

Academic Teaching Staff

July 1, 2017

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SIGNED ON BEHALF OF THE BOARD OF GOVERNORS OF THE UNIVERSITY OF ALBERTA

**Steven Dew,
Provost and Vice-President (Academic)**

Witness

**SIGNED ON BEHALF OF THE ASSOCIATION OF ACADEMIC STAFF OF
THE UNIVERSITY OF ALBERTA**

**Carolyn Sale,
President**

Witness

DATED:

APPENDIX A:

<p align="center">This Table provides a Summary for Ease of Use of Articles 6, 8, 9 and 10 APPOINTMENTS to a POSITION Full-Time (FT) or Part-Time (PT) as Indicated</p>			
<p>RANKS -TITLES (Regardless of Contract Status, each rank can be achieved)</p>	<p>CONTRACT STATUS</p>	<p>PROBATIONARY PERIODS and METHOD of ANNUAL EVALUATION</p>	<p>LAY-OFF PROVISIONS</p>
<p>Full Lecturer</p> <hr/> <ul style="list-style-type: none"> - Master Coach - Clinical Professor - Teaching Professor <p>Associate Lecturer</p> <hr/> <ul style="list-style-type: none"> - Senior Coach - Associate Clinical Professor - Associate Teaching Professor <p>Assistant Lecturer</p> <hr/> <ul style="list-style-type: none"> - Coach - Assistant Clinical Professor - Assistant Teaching Professor 	<p>Career (FT or PT)</p> <p>Contingent – no end date.</p>	<p>Probationary Period of 12 months.</p> <p>Evaluated by Academic Teaching Staff Evaluation Committee (ATSEC).</p>	<p>Provided working notice of not less than 12 months of contract termination.</p> <p>No severance.</p>
	<p>Term 12 (FT or PT)</p> <p>Appointment period of 12 months to a maximum of 6 years.</p>	<p>Probationary Period of 12 months with appointment period greater than 24 months.</p> <p>Faculty determines if evaluated by ATSEC or Department Chair.</p>	<p>Provided 3 months' working notice if contract is terminated prior to end date.</p> <p>Provided severance of one month for each full year of service to a maximum of 9 months.</p>
	<p>Term 8R (FT)</p> <p>Appointment period from 24 months to a maximum of 6 years, but where the full-time workload occurs in 8, 9, 10 or 11 months within each year. Staff member may purchase benefits during the inactive period (period of leave without pay).</p>	<p>Probationary Period not required.</p> <p>Faculty determines if evaluated by ATSEC or Department Chair.</p>	<p>Provided working notice to the full-time workload end-date. (e.g., appointment period of July 1 to June 30 with full-time workload occurring from September 1 to April 30, full-time workload end-date is April 30.)</p> <p>No severance.</p>
	<p>Term 8 (FT or PT)</p> <p>Appointment period of 8 months to less than 12 months.</p>	<p>Probationary Period not required.</p> <p>Faculty determines if evaluated by ATSEC or Department Chair</p>	<p>Provided working notice to the end of the appointment period.</p> <p>No severance.</p>
<p>Instructor</p> <p>(used for temporary, time-limited, adhoc circumstances)</p>	<p>Instructor (FT or PT)</p> <p>Appointment period of less than 8 months as FT or less than 12 months as PT.</p>	<p>Probationary Period not required.</p> <p>Evaluated by Department Chair.</p>	<p>Provided working notice to the end of the appointment period.</p> <p>No severance.</p>

APPENDIX B:

Letter of Appointment

[Office Name]



[Name]

[Click here and enter date]

[Address]

Dear [Name]:

On behalf of the Board of Governors, I am pleased to offer you a formal appointment to the academic staff of the University of Alberta in accordance with the terms set forth below. Should you accept this offer, your employment will be governed by the Collective Agreement for Academic Teaching Staff, a copy of which can be found at www.hrs.ualberta.ca/MyEmployment/Agreements.aspx. The Agreement may be amended in accordance with its terms and such amendments are binding upon you. A printed copy of the Agreement will be provided on request.

The specific terms of the appointment offer are:

- 1. Position Rank and Title: **[Rank/Title]** Position Profile attached: **["Yes"]**
- 2. Department:
Faculty:
- 3. Contract Status: **[Career or Term 12 or Term8R or Term 8 or Instructor]** Lay-off Provisions: **["Yes"]**
For Term 8R Status: Full-time Workload occurs **[start and end date]** and inactive period is **[start and end date]**
- 4. Period of Appointment: **[Start Date] to [End Date or NA for Career Status]**
- 5. Probationary Period: **[NA or 12 months]**
- 6. Full-Time/Part-Time: **[Full-Time (1.0) or Part-Time (.xx)] FTE**
- 7. Salary: **[\$[Salary] per annum [Salary Range]**
- 8. Special conditions, if any: **[Special Conditions or "see attachment"]**
- 9. You are eligible for a removal grant of **[\$[NA or amount]** in accordance with Section 19.12 and Appendix E of the Agreement.

The return of one signed original copy of this letter to the undersigned will constitute your acceptance of this offer of appointment on the terms hereof.

This appointment is expressly contingent on your continuing eligibility for employment in Canada and upon the University receiving confirmation, if required by the appropriate federal government department or upon request by the University, of your continuing eligibility for employment in Canada. Loss of your eligibility for employment in Canada or a failure to provide confirmation of your eligibility for employment in Canada (i.e. work permit and/or permanent or temporary residence visa) will render the appointment null and void.

All personal information collected by the University of Alberta for the purpose of employment shall be collected under the authority of Section 33c of the Alberta Freedom of Information and Protection of Privacy Act (FOIPP) and will be protected under Part 2 of that Act. Certain information will be made available to federal and provincial departments and agencies under appropriate legislative authority. For further information regarding the collection and use of the personal information, contact *Human Resource Services, 2-60 University Terrace, University of Alberta. Phone: 492-4555.*

THIS FORM CONSTITUTES THE ENTIRE CONTRACT OF APPOINTMENT BETWEEN THE APPOINTEE AND THE UNIVERSITY AND NO OTHER WRITTEN OR ORAL CONDITION, QUALIFICATION OR AGREEMENT

Yours sincerely,

[Name]
[Title]

Received by University

ACCEPTANCE

I hereby acknowledge receipt of the original hereof and accept the appointment referred to and the terms and conditions set forth.

Date at _____ (city)

This _____ day of _____, _____ (day) (month) (year)

Signature

APPENDIX C:

**UNIVERSITY LIBRARY PRIVILEGES FOR MEMBERS OF THE
ACADEMIC TEACHING STAFF AGREEMENT**

APPLICATION OF UNIVERSITY LIBRARY PRIVILEGES UNDER THE ATS AGREEMENT					
	CONTRACT PERIOD as an Employee	ACCESS from Off-Campus to Licensed Online Library Content as an Instructor	NO ACCESS from Off-Campus to Licensed Online Library Content	On-Campus Access to Licensed Online Library Content	Library Card Borrowing Privileges of 4-Month Loans based on University Staff ONEcard
	NORMALLY, FROM: Term Start Date	FROM: Approximately 2 months prior to the Term Start Date			FROM: Contract Period Start Date
	TO: Term End Date	TO: 4 months following the Term End Date			TO: 14 months after the Start Date
RECURRING APPOINTMENTS	Fall and Winter Terms	Jul 1 to Aug 31 (14 months)	Not applicable: continuous access	Continuous access with active CCID on University Wireless Service (UWS); or at Information and Technology Services (IST) or University Libraries workstations.	Coincides with the 14 month access period and requires University Staff ONEcard. Before the 14 month access period OR in the absence of a new contract after the 14 month access period, an individual may obtain a free borrower card with a 2-week loan period with valid ID at any University Libraries service desk.
	Fall Term	Jul 1 to Apr 30 (10 months)	No access May and Jun		
	Winter Term	Nov 1 to Aug 31 (10 months)	No access Sep and Oct		
	Spring and Summer Terms	Mar 1 to Dec 31 (10 months)	No access Jan and Feb		
	Spring Term	Mar 1 to Oct 31 (8 months)	No access Nov, Dec, Jan, Feb		
	Summer Term	May 1 to Dec 31 (8 months)	No access Jan, Feb, Mar, Apr		
NEW APPOINTMENT	Fall and Winter Terms	Jul 1 to Aug 31 (14 Months)	Not applicable		
	Fall Term	Jul 1 to Apr 30 (10 months)			
	Winter Term	Nov 1 to Aug 31 (10 months)			
	Spring Term	Mar 1 to Oct 31 (8 months)			
	Summer Term	May 1 to Dec 31 (8 months)			

The following relationship definitions exist for ATS Agreement staff members:

Instructor (INT) = An instructor is someone who is teaching continuing education, graduate or undergraduate course(s) at the University. The instructor relationship is added to the University system once an instructor's employee ID is attached to a class. The start date of the relationship coincides with the date that the course catalogue is released to campus. The end date of the relationship is the end date of the last term that the instructor is attached to a course/courses + four months.

Employees (EMP) = An employee is someone who has an employment relationship with the University. All employees will have other simultaneous relationships that further describe their affiliation with the University (e.g., Student or Instructor). The employee relationship is given to all persons that have an active job record in the University system. The start and end date of the relationship coincides with the start and end date of the employment contract.

ACCESS TO LICENSED ONLINE LIBRARY CONTENT

The University Libraries licenses a wide range of electronic journals, e-books, abstracting/indexing databases and numerical databases from commercial vendors. These licenses restrict use of these resources to primary members of the University community, i.e. current University students, faculty and staff (based on valid student or employee numbers). However, University Libraries licenses do permit "walk-in"/on-campus use by guest affiliates and the wider community at public computer stations within the University Libraries or via the UWS.

REMOTE ACCESS TO LICENSED ONLINE LIBRARY CONTENT

Remote access (from outside the University computing network) to licensed online library content by primary members of the University community requires login to the Library's EZproxy server using a CCID.

The search for information from off campus begins within the University Libraries website at <http://www.library.ualberta.ca>. Ebooks, ejournals, databases, streaming video or audio, etc. can be searched through various services within the website and before being linked through to the content, the searcher will be passed to the Libraries EZproxy service to login with CCID and password.

LIBRARY CARDS AND BORROWING PRIVILEGES

Staff members will use a University Staff ONEcard to borrow Library resources with a 4-month loan period for 14 months from the start date of their employment contract.

**APPENDIX D:
Conditions for Supplementary Professional Activities (SPA)**

1. The authority and approval of SPA is subject to the following conditions:
 - a) The staff member shall not compete unfairly with professionals outside the University.
 - b) The SPA shall not infringe upon the University's conflict policy and related procedures and protocols, as amended from time to time.
 - c) The SPA shall conform with the University's related policies, procedures and protocols related to the use of University facilities and staff, as amended from time to time.
 - d) The staff member shall indemnify and hold harmless the University from and against any loss, injury or damage which the University may or could suffer arising in any way out of or in relation to such activities. The staff member gives this covenant and makes this agreement notwithstanding that the University has participated in such activities by the provision of facilities, space, equipment, or administrative assistance, unless the said loss, injury or damage arises directly from a malfunction of the said facilities or equipment which is not caused by the user thereof; and notwithstanding that the University has participated in such SPA by the provision of students or postdoctoral fellows or the like; and notwithstanding that any formal contract with respect to those SPA has not been negotiated by or approved by the University.
 - e) When engaged in SPA a staff member shall not use the name of the University in any way, except as the mailing address, nor shall the staff member hold himself or herself to be an agent of the University when engaged in SPA.
2. SPA shall be taken into account in the evaluation of a staff member's performance for increments and promotion.
3. The following information shall be provided in the staff member's annual statement on SPA:
 - a) the category or type of client or affiliation;
 - b) the nature of services performed;
 - c) an estimate of the total time devoted to each SPA; and
 - d) the names and nature of any continuing contractual arrangements with outside organizations.
4. SPA shall represent an integral part of the responsibility to relate theory to practice, thereby enabling teaching to remain professionally relevant. Routine, repetitive and trivial SPA is discouraged.

Required SPA

5. A Faculty Council may deem SPA, and the maintenance of a professional license, to be essential to the work of the Department and to the progress of a staff member's career. In such cases the Dean and Department Chair shall encourage SPA.
6. Where a Faculty Council has deemed SPA to be essential to the work of the Department, the Faculty Council shall recommend to the Board that such SPA be considered as part of the primary University responsibilities. The Board may approve such recommendations on such conditions as it deems appropriate, having regard to 1.a.

Major SPA

7. SPA may be categorized as major or minor in scope. Each Faculty Council shall decide what constitutes major SPA but all proposals to teach at another institution shall be considered major SPA.

Reporting Requirements

8. Each staff member shall submit an annual statement to the Department Chair and Dean on SPA in the previous year. The Department Chair shall submit his or her personal statement to the Dean.
9. The period covered by the annual statement and the date on which it is to be submitted may vary from Faculty to Faculty with this decision being made, from time to time, by the Faculty Council.
10. The annual statement may be made in conjunction with the annual report of the staff member or it may be a separate statement. Each Faculty Council shall determine, from time to time, which is the appropriate method for that Faculty.
11. Each Faculty Council shall develop the format for the annual statement for that Faculty and submit to the Provost for approval.
12. Decisions reached by a Faculty Council under this Article shall be conveyed, in writing, to the Provost and the Association.

Faculty Regulations

13. Each Faculty Council shall develop regulations with respect to SPA. The regulations and any amendments thereto shall be filed with the Provost and the Association. The regulations shall include:
 - a) The definition of what constitutes major SPA.
 - b) The format for the annual statement of SPA; the determination of the time period covered by the report; the date by which the report is to be submitted and whether the annual statement about SPA shall be included in the annual report.
 - c) Any modifications to the requirement that SPA be taken into account in the evaluation of a staff member's performance.
 - d) Whether the time of year, week or day when SPA is performed is important to its approval and reporting.
 - e) Whether the annual statement shall include information about remuneration received from SPA.
 - f) Regulations governing the use of University facilities and staff for SPA including arrangements to reimburse the University for such use.
 - g) What evidence shall be required to ensure the staff member has adequate personal liability insurance to indemnify the University against any claims.
 - h) Such additional terms and conditions the Faculty Council may consider necessary; such terms and conditions shall be in addition to and not in contradiction to this Appendix.

APPENDIX E:

SALARY SCHEDULE

[Link]

BENEFITS SCHEDULE

[Link]

REMOVAL GRANT REGULATIONS

[Link]

APPENDIX F:

COPYRIGHT REGULATIONS (2016)

1. Ownership

- 1.1 Pursuant to 24.2 of the Agreement, a staff member who creates a Work resulting from or connected with the staff member's duties or employment owns copyright in the Work. However, the University owns or has an interest in Works as provided in 1.4 to 1.7 inclusive, 2.1 to 2.10 inclusive, 3.1, 5.1, and 5.2 of this Appendix.
- 1.2 For the purposes of this Appendix and Article 24 of the Agreement, "Work" or "Works" means anything in which copyright subsists pursuant to the *Copyright Act* (Canada), whether published or unpublished. For greater certainty, Work includes: architectural works, artistic works, choreographic works, cinematographic works, collective works, dramatic works, literary works, musical works, compilations, performers' performances, sound recordings and communication signals, all as defined in the *Copyright Act* (Canada).
- 1.3 A creator has moral rights in a Work, as provided under the *Copyright Act*. The Parties endorse and support the creator's right to manage those moral rights.
- 1.4 If a staff member creates a Work
- (a) in the course of performing administrative or management duties or activities for the University, a Department, or a Faculty, including all units therein associated (e.g., Centres and Institutes); or
 - (b) for the purposes of a committee or group of a Department, Faculty, or the University;
- then the University owns copyright in the Work.
- 1.5 If a staff member creates a Work pursuant to a written agreement between the staff member and the University, that agreement shall address the University's arrangement with the staff member regarding ownership or other interest in that Work.
- 1.6 If a staff member creates a Work under a sponsored research funding agreement with a third party funder, copyright ownership and licensing are governed by the terms of the sponsored research funding agreement. Because the University shall enter into the sponsored research funding agreement with the sponsor, the University has the right to obtain from the staff member an assignment or licence of the copyright as necessary to fulfill its obligations to the sponsor under the sponsored research funding agreement. However, the staff member cannot

unilaterally assign or licence Works that are not wholly owned or created by that staff member.

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

2 University Licence

General Principles

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

Limited Exception – Works Created to Fulfill Assigned Course Responsibilities

- 2.6 Except in the cases described in 2.7 to 2.10 inclusive, the licence contemplated by 2.1 does not apply to any Work created by a staff member to fulfill assigned course responsibilities under Articles 8.01 and 8.03 of the Agreement.
- 2.7 The licence contemplated by 2.1 includes those elements of a course outline that set out the information required by General Faculties Council policy, as described in the University Calendar.
- 2.8 If a staff member is unable or unavailable to deliver all or part of a course duly assigned to that staff member, the University may use the Work described in 2.6 to complete the delivery of

the course. Such a licence will not be irrevocable, but instead will be for the duration of the course in that academic year.

- 2.9 The University may use a Work described in 2.6 for the purposes of unit accreditation, in connection with transfer credit determinations or as the University may be required to meet its obligations to students.
- 2.10 If a staff member is assigned course responsibilities under Article 8.03 of the Agreement that entail the preparation of course materials for use in multiple courses or courses taught in multiple sections, the licence contemplated by 2.1 applies to those materials for a term of three (3) years from the date that the materials are last revised by the staff member and it shall not be an interference in the creator's moral rights for the University to modify the course materials as required for the purpose of keeping them current.

3. Computer Programs and the University Patent Policy

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

4. Conflict of Interest and Conflict of Commitment

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

5. Collaborative Works

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

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

6. Guidelines

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

1. Objective

The University Patent Policy is intended to encourage inventors to patent inventions and to provide a mechanism for the commercial application and utilization of the inventions while rewarding the inventor and protecting the rights of the University.

2. Definitions

“Director” means the Director of the University’s Intellectual Property and Contracts Office.

“Invention” means an invention or discovery with patent possibilities made by an Inventor in the course of that Inventor’s duties at the University or through the use of University facilities or resources and includes any computer programs (software) forming part of, and capable of being patented as part of, that invention or discovery.

“Inventor” means any employee of the University, any student registered at the University (whether for credit or not), and any other person associated with the University who, in each of the foregoing categories, is bound to comply with the provisions of this Policy.

“Net Income” means all consideration received by the Inventor or the University from third parties, from the sale or licensing, in accordance with this Policy, of the Invention, less the out-of-pocket costs paid by that party for obtaining the patent and granting, performing and enforcing any assignment or licensing of such Invention. Any consideration not received in cash shall be valued by agreement between the University and the Inventor, failing which the value shall be determined by arbitration.

“ROI” means a Report of Invention, in form available from the Director.

3. Copyright

This Policy does not apply to copyrights on work published or unpublished, or to computer programs (software) except as noted in the definition of the Invention.

4. Plant Cultivars and Germ Plasm

The sharing of revenue earned from the registration and subsequent licensing, as appropriate, of plant cultivars and germ plasm, and other questions arising from an application for a license shall be determined in accordance with the principles of this Policy as if the same were an Invention.

5. Inventions Covered

This Policy shall apply to all Inventions including those made under grants, sponsorships, contracts or agreements approved by the University. The Policy shall not apply to Inventions made by Inventors in the course of demonstrably private research unrelated to their University duties or in the course of their activities as consultants to outside bodies, when such research or activities do not involve use of University facilities or resources.

6. Administration of the Policy

The Director shall be responsible for the administration of this Policy.

7. Patent Alternatives

7.1 An Inventor who makes an Invention and wishes to apply for a patent may, except as provided in Paragraph 10 of this Policy, do so as an individual independent of the University, or may do so through the University, as set out in these procedures.

7.2 Any Inventor who makes an Invention must submit to the Intellectual Property and Contracts Office an ROI which contains a full description of the Invention. The Inventor

must complete the section indicating whether or not the Inventor wishes to proceed independently of the University or wishes to proceed through the University.

- 7.3 While the Inventor may file a caveat as an intended applicant for a patent under the Patent Act (Canada) as soon as the ROI is submitted to the Director, the Inventor shall not enter into any commitments outside the University aimed at patenting, assigning or licensing the invention for thirty (30) calendar days after such submission. This will enable representatives of the Intellectual Property and Contracts Office to discuss with the Inventor the Invention and its proposed applications and commercialization.

8. Application Through the University

- 8.1 If the Inventor offers to assign the Invention to the University, the Inventors ROI shall be reviewed by the Patents and Licensing Committee (see Paragraph 14 below), which shall decide whether to accept assignment of the Invention.
- 8.2 If the University decides to accept the assignment, it shall then assume the responsibility for obtaining patents, the negotiation of assignments or licenses, and the taking of whatever other steps are deemed necessary by the University for the commercialization of the Invention without cost to the Inventor.
- 8.3 The Director shall consult with the Inventor on how best to facilitate public use and commercial application of the Invention. In general, patent applications will be filed only in Canada or the United States of America. Thereafter the University will attempt to verify the commercial opportunities for the Invention before deciding whether to file in additional countries or to incur additional expenses.
- 8.4 If the decision is not to accept the assignment, or if no decision is made by the Patents and Licensing Committee within four (4) months from the date of submission of the ROI, or such earlier or later time may be agreed upon by the University and the Inventor, the Inventor may, by notifying the Director in writing, recover full ownership of the Invention and proceed at the Inventors own discretion and own expense, pursuant to Paragraph 9 but without the thirty (30) calendar day waiting period.
- 8.5 The University shall remit to the Inventor not later than 15 June each year a statement reporting all relevant actions taken in respect of the Invention during the previous University fiscal year, such as the issue of a patent, the conclusion of a licensing agreement or the like; and reporting further the name and places of all establishments using the Invention under license; and reporting further all expenditures and income forming part of the calculation of Net Income for that year. The University shall also, not later than 15 June, remit to the Inventor a sum equal to 33-% of the Net Income for the previous fiscal year.
- 8.6 If at any time after having accepted assignment of an Invention, the University determines that it is not feasible to continue the commercialization of an Invention, and it has not outstanding contractual license or assignment obligations to third parties with respect to the Invention, it may reassign the Invention and any patent, or patent application relating thereto, to the Inventor, in which instance the Invention shall be treated as an Invention of which the Patent and Licensing Committee has pursuant to paragraph 8.4 determined not to accept an assignment.

9. Application Independently of University

- 9.1 When permitted pursuant to Paragraph 7 or Paragraph 8.4, the Inventor may proceed independently of the University, or arrange with any outside sponsor of the Inventors choice, to obtain patents for the Invention, to negotiate licenses, and otherwise to take whatever steps the Inventor deems necessary for the commercialization of the Invention. All such steps shall be taken at the Inventor's, or the Inventor's sponsors expense.

9.2 The University acknowledges that the Invention shall be owned by the Inventor and, except for the obligations set forth in paragraph 9.3 below, the University shall have no other rights in respect of such Invention.

9.3 The continuing obligations of the Inventor under this option shall be:

- a) to provide the University with an annual statement, not later than 15 June of each year, containing the information set out in paragraph 8.5 above;
- b) to maintain in Alberta proper records of the matters referred to in a) above and to permit the University access to the records for each year for a period of twenty-four (24) months following completion of that year.
- c) to remit to the University, with the annual statement, the sum equal to 33 1/3% of the Net Income for the previous fiscal year.

10. Compulsory Application Through the University for Multi-Inventors

If more than one Inventor is involved in making an Invention, and if there is no other agreement between the Inventors, the Invention must be offered for patenting and commercialization through the University, as contemplated in Paragraph 8. In cases involving multi-Inventors, the Patent and Licensing Committee, after consultation with the Inventors, shall approve the list of Inventors and shall determine the relative royalty apportionment for the individuals concerned. This level of apportionment will be commensurate with the level of contribution of each. If the Inventors wish to appeal the decision of the Committee in respect to the list of Inventors or to the royalty apportionment, the procedures set out in section 14.3 shall apply.

11. Variation to Net Income Apportionment

Notwithstanding any provision of paragraphs 8 or 9 of this Policy, the University and the Inventor may, with respect to an Invention, enter into an agreement in which responsibility for, and cost of, patenting and commercializing such Invention are dealt with in a manner different than provided in such paragraphs and in which Net Income is apportioned in a manner different from that provided in these sections.

12. Review of Patent Policy

The Patent Policy will be reviewed at least every five (5) years by the Patents and Licensing Committee to keep it abreast of the needs of the University. The review date will be based on the date of the Policy coming into force.

13. Assigned Inventions and Patents

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

14. Patents and Licensing Committee (Terms of Reference Attached)

14.1 The Patents and Licensing Committee shall consist of the Associate Vice-President (Research), the Director, one person appointed by the University Research Policy Committee, one person appointed by the AAS:UA, and one person appointed by the

Advisory Committee of the Office of Intellectual Property and Contracts. The Committee chooses its own Chair.

14.2 In the event that a meeting of the Patents and Licensing Committee or its executive is held to make a decision respecting a particular ROI, as referred to in Paragraph 8.1 of this policy, the Inventor and the Inventor's Dean and Department Chair will be invited to attend the meeting and will have the opportunity to state their views.

14.3 If an Inventor or group of Inventors decides to appeal a decision of the Patents and Licensing Committee, the appeal shall be heard by a one person arbitration board, the arbitrator being chosen by the Provost.

14.4 If two parties in a Multi-Inventor patent dispute the relative apportionment of royalties, the dispute shall be heard by a three person arbitration board. Each party shall select a representative to the board and those two persons shall select a third person to chair the board. Where the two representatives cannot agree on a third person, the third person shall be chosen by the Provost.

15. Commitment to University Research

A portion of Net Income shall be used to support research at the University, with special recognition being given to the Faculty, Department, or the laboratory in which the Invention originated. The University will commit a portion of its Net Income to this end and encourages University Inventors to do the same.

**APPENDIX H:
Detailed Procedures on Evaluation and Promotion
[to be developed in accordance with Appendix I]**

APPENDIX I: INTERPRETATION AND TRANSITION

The parties agree that:

1. An Interpretation Committee will be established and will meet regularly from July 1, 2017 to June 30, 2019 in order to monitor, review and update language based upon our experiences with the implementation of this new Agreement;
2. The Interpretation Committee will specifically monitor and review the implementation of the definitions of Appointments established in Article 6 to ensure that there is sufficient clarity and to recommend additional clarification in order to alleviate any confusion;
3. By September 1, 2017, the Interpretation Committee will provide recommendations to the Provost for his/her information concerning the membership composition of ATSEC, keeping in mind the models already established below and the principles of (a) appropriate and proportional elected membership from all staff members (when possible) under this Agreement; (b) representation from tenured faculty; and (c) the appointment of an external member such as from PRC;
4. Departments will require assistance to transition to the new Appointment categories and Human Resource Services and Faculty and Staff Relations will be providing that assistance. Appropriate transition time is required;
5. Procedures will be developed, as required, to effectively and consistently manage Probationary Periods, Evaluation, Promotion, Unsatisfactory and Unacceptable Performance;
6. Current Salary Schedules and Benefits Programs will remain intact until Compensation Negotiations make any changes;
7. If a Faculty is currently able to improve the terms of the Agreement (as through previous appropriate consultations under the CAS:T Agreement) then they may continue to do so (e.g. removal allowance, scholarly leaves, etc.). The Faculty must continue to ensure internal equity is maintained. Details of the variation from the Agreement should be included in the special conditions section of the appointment letter and approved by the Office of the Provost.
8. The first review of the Faculty's position expectations and standards of performance under Article 10.14 will be completed by June 30, 2022.

Current Models of Membership:

Nursing (Faculty Lecturer Evaluation Committee)

- FEC Chair to be Chair of FLEC;
- Associate Dean, Undergraduate Programs, ex officio;
- FEC members, except for the Dean and the PRC member;
- 6 Faculty Lecturers, elected by Faculty Lecturers; and
- Human Resources Officer (Resource).

Physical Education and Recreation (Coaches Evaluation Committee)

- Dean to be Chair of CEC;
- Director of Athletics;
- Associate Athletic Director(s) (non-voting);
- 3 Head Coaches at a minimum rank of Senior Coach, elected by Faculty Council;
- 1 full-time academic staff member (non-coaching) elected by Faculty Council;
- 1 external AASUA member appointed by the Chair, from recommendations received from Coaches.

OUTLINE OF ISSUE
Action Item

Agenda Title: **Report and Recommendations of the Ad Hoc Committee on Academic Governance Including Delegated Authority**

Motion I: THAT **General Faculties Council approves** the following four key guiding documents as set forth in Attachment 1 to take effect upon approval:

- GFC Principles for Delegation of Authority
- GFC Principles for Standing Committee Composition
- GFC Roles and Responsibilities of Members
- GFC Meeting Procedural Rules

and

Motion II: THAT **General Faculties Council endorses and approves in principle** the *Report of the Ad Hoc Committee on Academic Governance Including Delegated Authority* and draft GFC Standing Committee Terms of Reference as set forth in Attachment 2

and

Motion III: THAT **General Faculties Council endorses** the transition process as outlined in the *Report of the Ad Hoc Committee on Academic Governance Including Delegated Authority* for implementation of the recommendations on or before April 30, 2019

and

Motion IV: THAT **General Faculties Council discharges**, with thanks, the Ad Hoc Committee on Academic Governance Including Delegated Authority once the transition committee is established.

Item

Action Requested	<input checked="" type="checkbox"/> Approval <input type="checkbox"/> Recommendation
Proposed by	David Turpin, President and Vice-Chancellor, and Chair, GFC
Presenter	Mark Loewen, Chair and Steve Patten, Vice-Chair – <i>Ad Hoc Committee on Academic Governance Including Delegated Authority</i>

Details

Responsibility	David Turpin, President and Vice-Chancellor, and Chair, GFC
The Purpose of the Proposal is (please be specific)	<p>There has been a great deal of work done over the last several months leading up to this point.</p> <p>The work is reflected in the <i>Report of the Ad Hoc Committee on Academic Governance Including Delegated Authority</i> and has focused on GFC's mission, which is to act on its responsibility for the academic affairs of the university within a framework structured by the principles of collegial governance.</p> <p>Reforming academic governance required clear principles and guidelines regarding the responsibilities of GFC members, the delegation of powers, the composition of GFC committees, and the procedural rules for meetings of GFC and its committees. Four documents were developed, for immediate approval by GFC. These documents are</p>

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	<p>intended to guide the implementation of the committee’s recommendations, including revisions to standing committee terms of reference, and also serve as the basis for future efforts to evaluate and improve academic governance at the University of Alberta. The four documents to be presented for approval address the following matters:</p> <ul style="list-style-type: none"> • Principles for Delegation of Authority • Principles for Standing Committee Composition • Roles and Responsibilities of Members • Meeting Procedural Rules <p>GFC is asked to endorse and approve in principle the oversight, work and implementation of the recommendations as set forth in the <i>Report of the Ad Hoc Committee on Academic Governance Including Delegated Authority</i>. Endorsement and approval in principle is important because ultimately it means that GFC and committee members will be working on the governing documents – the members will be doing this work.</p> <p>In addition, to ensure that the recommendations in the report will be completed, and to facilitate a smooth transition, as suggested in the report, GFC Executive Committee will oversee and facilitate the implementation of the recommendations on or before April 2019.</p>
<p>The Impact of the Proposal is</p>	<p>The approval of these guiding documents will inform future work for the academic governing body and are critical foundational documents. The <i>Report of the Ad Hoc Committee on Academic Governance Including Delegated Authority</i> presents recommendations for academic governance reform and sets forth a plan for how members can continue the work and be engaged participants in the academic governance process.</p> <p>The endorsement and approval in principle of the recommendations presented in the <i>Report of the Ad Hoc Committee on Academic Governance Including Delegated Authority</i> will set the course for the ongoing renewal of academic governance, give oversight of this process to GFC Executive, and provide implementation timelines for renewal. The endorsement and approval in principle of the draft GFC Standing Committee Terms of Reference will enable further work on these terms over the timelines outlined.</p> <p>The recommendation of a transition process will ensure the work initiated by the <i>Ad Hoc Committee on Academic Governance Including Delegated Authority</i> will be completed on or before April 2019.</p>
<p>Replaces/Revises (eg, policies, resolutions)</p>	<p>The GFC Roles and Responsibilities of Members and GFC Meeting Procedural Rules revise elements of the GFC Terms of Reference and the General Terms of Reference for GFC Standing Committees. Once approved, the revised documents are clear and consistent and will form part of the overall governing documents.</p>
<p>Timeline/Implementation Date</p>	<p>The guiding documents will take effect upon approval at GFC on April 21, 2017 and be used to guide implementation of the recommendations of the <i>Report of the Ad Hoc Committee on Academic Governance Including Delegated Authority</i> along with any future renewal of academic governance.</p> <p>The implementation of the recommendations presented in the report will</p>

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	<p>be carried out as per the timelines offered in the report.</p> <p>The draft GFC Standing Committee Terms of Reference will replace the current Terms of Reference upon their final approval by GFC as per the timelines outlined.</p>
Estimated Cost and funding source	To be determined.
Next Steps (ie.: Communications Plan, Implementation plans)	<p>Upon approval at GFC, the <i>Report of the Ad Hoc Committee on Academic Governance Including Delegated Authority</i> will proceed to the implementation phase.</p> <p>Upon approval by GFC, a transition will be established to continue this work and conclude no later than April 2019.</p>
Supplementary Notes and context	GFC established Ad Hoc Committee on Academic Governance including Delegated Authority in September 26, 2016 ‘to draft revised Terms of Reference of GFC and all GFC Standing Committees, updating delegated authorities for recommendation to GFC by April 30, 2017’ and approved the tasks outlined in the committee’s terms of reference. The committee has met bi-weekly since the beginning of October to understand the issues and develop appropriate recommendations to address them.

Engagement and Routing (Include meeting dates)

<p>Participation: (parties who have seen the proposal and in what capacity)</p> <p><For further information see the link posted on the Governance Toolkit section Student Participation Protocol></p>	<p><u><i>Those who have been informed:</i></u></p> <ul style="list-style-type: none"> • University Community
	<p><u><i>Those who have been consulted:</i></u></p> <ul style="list-style-type: none"> • See attached list of consultations (Attachment 3)
	<p><u><i>Those who are actively participating:</i></u></p> <ul style="list-style-type: none"> • Members of the <i>Ad Hoc</i> Committee on Academic Governance including Delegated Authority • University Governance
Approval Route (Governance) (including meeting dates)	GFC Executive – April 10, 2017 General Faculties Council – April 21, 2017
Final Approver	General Faculties Council

Alignment/Compliance

Alignment with Guiding Documents	<p>For the Public Good</p> <p><i>Institutional Values</i></p> <p>The University of Alberta community of students, faculty, staff, and alumni rely on shared, deeply held values that guide behaviour and actions. These values are drawn from the principles on which the University of Alberta was founded in 1908 and reflect a dynamic, modern institution of higher learning, leading change nationally and internationally.</p> <p>Above all, we value intellectual integrity, freedom of inquiry and expression, and the equality and dignity of all persons as the foundation of ethical conduct in research, teaching, learning, and service.</p>
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	<p>We value excellence in teaching, research, and creative activity that enriches learning experiences, advances knowledge, inspires engaged citizenship, and promotes the public good.</p> <p>We value learners at all stages of life and strive to provide an intellectually rewarding educational environment for all.</p> <p>We value academic freedom and institutional autonomy as fundamental to open inquiry and the pursuit of truth.</p> <p>We value diversity, inclusivity, and equity across and among our people, campuses, and disciplines.</p> <p>We value creativity and innovation from the genesis of ideas through to the dissemination of knowledge.</p> <p>We value the history and traditions of our university, celebrating with pride our people, achievements, and contributions to society.</p> <p><i>Objective 21</i> Encourage continuous improvement in administrative, governance, planning and stewardship systems, procedures, and policies that enable students, faculty, staff, and the institutions as a whole to achieve shared strategic goals.</p>
<p>Compliance with Legislation, Policy and/or Procedure Relevant to the Proposal (please <u>quote</u> legislation and include identifying section numbers)</p>	<p>1. Post-Secondary Learning Act (PSLA) “Powers of general faculties council” 26(1) Subject to the authority of the board, a general faculties council is responsible for the academic affairs of the university and, without restricting the generality of the foregoing, has the authority to</p> <ul style="list-style-type: none"> (a) exercise any power of a faculty council that the general faculties council considers desirable to exercise; (b) consider and make decisions on the reports of the faculty councils as to the programs of study in the faculties; (c) determine all programs of study to which clause (b) does not apply that are to be offered by the university for credit toward the requirements for any degree or diploma; (d) determine the timetables for examinations and for lectures and other instruction in each faculty; (e) consider and make decisions on the reports of faculty councils as to the appointment of examiners and the conduct and results of examinations in the faculties; (f) provide for the granting and conferring of degrees other than honorary degrees; (g) provide for the preparation and publication of the university calendar; (h) hear and determine appeals from the decisions of faculty councils on applications, requests or petitions by students and others; (i) consider all matters reported to it by any faculty council and communicate its opinion or action on those matters to the faculty council concerned;

Item No. 6

	<p>(j) determine the date for the beginning and end of lectures in the university and also the beginning and end of each university term;</p> <p>(k) make rules and regulations for the management and operation of libraries;</p> <p>(l) recommend to the board the establishment of faculties, schools, departments, chairs and programs of study in the university in any subject that the general faculties council thinks fit;</p> <p>(m) make rules and regulations respecting academic awards;</p> <p>(n) determine standards and policies respecting the admission of persons to the university as students;</p> <p>(o) make recommendations to the board with respect to affiliation with other institutions, academic planning, campus planning, a building program, the budget, the regulation of residences and dining halls, procedures in respect of appointments, promotions, salaries, tenure and dismissals, and any other matters considered by the general faculties council to be of interest to the university;</p> <p>(p) authorize lecturing and teaching on the university premises by persons other than members of the staff of the university;</p> <p>(q) authorize a school to have a school council of the same nature and with the same powers, duties and functions as a faculty council and, in its discretion, revoke any authority so given.</p> <p>(2) Any recommendations from the general faculties council to the board must be transmitted to the board through the president.</p> <p>(3) A general faculties council may delegate any of its powers, duties and functions under this Act, including the powers referred to in section 31, as it sees fit and may prescribe conditions governing the exercise or performance of any delegated power, duty or function, including the power of subdelegation.”</p>
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Attachments (each to be numbered 1 - <>)

1. Attachment 1 (11 pages) – GFC Guiding Documents (also included as Appendix 1 of the Report)
 - Principles for Delegation of Authority
 - Principles for Standing Committee Composition
 - Roles and Responsibilities of Members
 - Meeting Procedural Rules
2. Attachment 2 (89 pages) - *Report of the Ad Hoc Committee on Academic Governance Including Delegated Authority*
3. Attachment 3 (2 pages) – List of Consultations (also included as Appendix 6 of the Report)

Prepared by: University Governance



Principles for General Faculties Council Delegation of Authority

Introduction

Governance is understood as the process through which an organization defines and achieves its mandate, which includes making decisions with regard to the structures, policies, and practices of decision-making; the exercise of authority; and the mechanisms of accountability. General Faculties Council (GFC) has employed a structure that relies upon the delegation of its provincially-mandated authorities to its standing committees, individuals on campus and other campus bodies. Delegation is essential to ensure timely and efficient decision-making in smaller forums with access to appropriate resource people, while allowing GFC to focus on substantive and strategic issues of broad relevance to the university community. The following offers guidance to this delegation structure and helps maintain accountability, transparency, and collegiality in the academic governance system at the University of Alberta.

Retained Authority

General Faculties Council shall pursue major policy and strategic issues that include:

- significant strategic and policy issues related to the academic affairs of the university;
- any matter involving the alteration of the mandate, terms of reference, membership, or structure of a GFC standing committee; and
- those matters that a standing committee, body, or officer holding delegated authority from GFC considers to be of major strategic significance or long-term impact on the university.

Principles

1. Delegations of authority must be reasonable in scope and appropriate to the character and capacity of the body (e.g. council or committee) or officer receiving the delegated authority.
2. An officer or body acting with delegated authority is accountable to the body which delegated the authority and must report to that body in a timely and sufficiently detailed fashion on actions taken under the delegated authority.
3. An officer or body is responsible to be alert to situations where, for example, there is uncertainty as to whether an item falls within the intended delegation or the significance of an issue and the division of opinion on the issue suggest it is prudent to refer the issue or decision to the delegating body for consideration. When there is uncertainty as to whether an item falls within the intended delegated authority, or if there is clear division of opinion, the officer or body with delegated authority will refer the item to the body that delegated the authority along with a recommendation.
4. Delegations should be recorded in written form and curated in a transparent manner.

5. A body delegating authority may impose restrictions on that authority -- including restrictions on the authority to sub-delegate -- so long as the restrictions allow sufficient authority for the delegation to be meaningful.
6. All delegations of authority should be reviewed at regular intervals (ideally once every three years) to ensure they remain appropriate.
7. Withdrawal of delegated authority should be considered judiciously based on the best interest of the institution and cannot be done retroactively.
8. An officer or body is not compelled to exercise delegations. The fact that a delegation is held does not oblige the officer or body to exercise the delegation if, in the opinion of the delegate, some special or unusual circumstances are involved which make it sensible that the issue should receive consideration at a more senior level.

Approved by General Faculties Council: <insert date>

Principles for General Faculties Council Standing Committee Composition

Introduction

Governance at the University of Alberta relies upon a structure wherein the General Faculties Council has delegated many of its provincially-mandated authorities to its standing committees. As such, the composition of those standing committees is crucial to ensuring that decisions are made in an informed manner that takes into account the breadth of issues, perspectives and opinions on campus. The following principles provide a framework to create committee compositions which are reflective of the membership of GFC and appropriate to the role and mandate of those committees.

Principles

1. Wherever possible, the majority of elected members of each standing committee should be drawn from the membership of GFC to provide tangible links between GFC and its standing committees and increase engagement of the greater GFC community.
2. Wherever possible, the number of elected members of a standing committee should exceed the number of ex-officio members.
3. The voting status of ex-officio members of standing committees should be consistent with their voting status on GFC and should extend to their delegates.
4. Ex-officio members should be included in the membership of a standing committee only when their portfolio is directly relevant to the mandate and role of the standing committee.
5. Wherever possible, the Vice-Chair of a standing committee should be elected by the committee from its elected academic staff members and ideally be a member of GFC.
6. Standing Committees should be populated with a commitment to diversity and broad representation from across the university.
7. When cross-appointment of members on standing committees is appropriate, this should be outlined in the terms of reference of each committee and such members shall have voting status on both committees.

Approved by General Faculties Council: <insert date>

Roles and Responsibilities of Members

Introduction

General Faculties Council (GFC) is the principal academic decision-making body of the university. It is established in the Post-Secondary Learning Act (PSLA) and given authority, subject to the Board of Governors, over the academic affairs of the university.

For GFC to be successful in fulfilling its terms of reference and meeting its responsibilities to the university it depends on the active engagement of its members. GFC has delegated much of its authority for routine matters to standing committees allowing GFC to engage in high level strategic and stewardship policy issues. GFC members have the opportunity to serve on the standing committees that approve matters with the delegated authority from GFC.

GFC operates under the principle of collegial academic governance including:

- A commitment to inclusive and participatory governance decision-making
- A desire to facilitate meaningful individual-level engagement in governance processes
- A commitment to openness, transparency, and respectful communication
- A commitment to responsiveness, respect, and reciprocity between governing bodies and between governing bodies and university administration

Roles and Responsibilities of Members

1. Understand GFC

- 1.1 Members should understand that not all matters under GFC jurisdiction will come before that body for approval. Some decisions are made at the standing committee level as GFC has delegated authority to approve and report on actions taken on certain matters.
- 1.2 The university operates in a bicameral governance system. Members should understand the distinction between the role and responsibilities of GFC and the Board of Governors.

2. Meeting Attendance

- 2.1 Members have a responsibility to attend GFC meetings.
 - a. If a student misses two consecutive meetings, or more than three meetings in one academic year, the Students' Union or the Graduate Students' Association may request that the Chair declare the position vacant.
 - b. If a Faculty representative or a non-student member misses two consecutive meetings or more than three meetings in one academic year without a reason satisfactory to the members of the GFC Executive Committee, the Executive Committee shall declare the position vacant.
- 2.2 Members have a responsibility to serve on GFC committees as appropriate and attend committee meetings.
 - a. If an elected member is absent from three consecutive meetings or is frequently absent without a reason satisfactory to the remaining members of the committee, the Chair shall declare the position vacant.

2.3 Members should advise the GFC Secretary or committee coordinator if they are unable to attend a meeting.

3. Participate in GFC Business

3.1 Members should prepare for meetings by reviewing agenda materials in advance that, for open sessions, are publicly available at governance.ualberta.ca

3.2 Members should engage in candid and respectful discussion of matters which are brought before GFC and its various bodies

3.3 When voting on motions:

a. Members must act in good faith with the view to the best interests of the university as a whole. While members may be informed by matters raised by various constituencies, it is the duty of a member to ensure that all constituencies are fairly considered in the process of decision making.

b. When notified of an e-vote, members should vote in a timely manner in order to ensure that quorum requirements are met.

4. Manage Conflict of Interest and Act Ethically

4.1 Comply with the university's policies and procedures regarding both [ethical conduct](#) and [conflict of interest](#). Members must declare conflicts when they arise.

4.2 Maintain confidentiality of all information included in closed session meetings.

5. Ask Questions

5.1 Information requests may be made of the University Governance office, should members require more information than is provided with the meeting agenda.

5.2 If a member wishes to raise a question at GFC within the jurisdiction of the body, a question may be submitted in writing to the GFC Secretary up to six working days before the next GFC meeting to receive a written response.

5.3 Every GFC meeting has Question Period as a standing item wherein members may raise a question during the time set aside for this item. Procedures for Question Period are available at governance.ualberta.ca

5.4 If a member has a question with regard to an item on the agenda, it may be raised during consideration of that item at the GFC meeting.

5.5 If a member wishes to add an item to the agenda for debate, the member should contact the Chair or GFC Secretary for assistance.

6. Communicate Information to Constituents

6.1 Members should communicate with their Faculty or constituency regarding agenda items coming before GFC.

6.2 Members should communicate with their Faculty or constituency on matters which were discussed/approved at GFC in Open Session.

Approved at General Faculties Council <insert date>



Meeting Procedural Rules

Introduction

General Faculties Council (GFC) has on many occasions confirmed its commitment to having a set of rules that assist rather than impede the conduct of business. GFC rules are not meant to unduly restrict debate or limit opportunities for participation. Their purpose is to facilitate inclusive and respectful dialogue, while ensuring efficient decision-making. It is the responsibility of the Chair, with the support of GFC, to employ the rules governing general meetings in a manner consistent with these principles. Substantive motions should be handled with considerable formality, but whenever possible the Chair should deal with matters of procedure by general agreement.

The following rules and procedures are based on a number of fundamental principles that encourage participation and engagement of members. These principles include:

- A commitment to inclusive and participatory decision-making.
- A commitment to openness, transparency and respectful communication.

1. Procedural Rules

- 1.1 GFC and its standing committees are governed by the procedural rules set out below. For matters not covered by these rules, or by the Post Secondary Learning Act (PSLA) reference shall be made to the current edition of *Robert's Rules of Order*. If this does not provide clear direction regarding a point in question, then the Chair shall decide how to proceed. However, such rulings by the Chair may be overruled via a motion supported by a vote of the majority of those present.
- 1.2 The chairs of GFC and its standing committees will be responsible for guiding meetings of GFC and its standing committees, enforcing rules, and deciding questions pertaining to those rules. Any decisions of the chair are subject to challenge (see 10.3).
- 1.3 The Chair will not participate actively in debate regarding a motion before GFC without passing the role of the Chair to the Vice-Chair for the duration of the debate and the subsequent vote.

2. Meetings

- 2.1 GFC and its standing committees shall meet regularly during the academic year, the schedule of which will be published on the governance website at least one month before the beginning of each academic year. GFC meetings will not be scheduled during the period set aside for final examinations or Reading Week, however committee meetings may occur during this time.
- 2.2 Cancellation - GFC Executive Committee may cancel a meeting of GFC if it determines that the number and nature of the agenda items make it reasonable to defer consideration, and provided that notice of such cancellation is given to members at least one week prior to the date of the meeting. The Chair of a GFC standing committee may cancel a meeting if the agenda items make it reasonable to defer

consideration, and provided that notice of such cancellation is given to members as early as possible.

- 2.3 From time to time, the Chair of GFC may call special meetings of GFC, provided that notice of such meetings is given to members at least one month in advance.
- 2.4 GFC meetings shall normally be scheduled and planned to end two hours after being called to order.
- 2.5 Debate on new items of business will not be entertained after GFC has been sitting for three hours.
- 2.6 No audio or video recording of meetings shall be permitted unless by express authority of the Chair.

3. Open Sessions

- 3.1 Meetings of GFC and its standing committees are normally held in open session, with the exception of those dealing with nominations and adjudication which are always held in closed session.
- 3.2 Subject to the limitations of space and orderly conduct as determined by the chair, members of the university community and the general public may attend open meetings as observers. Observers may only speak if expressly invited to do so by the Chair.

4. Closed Sessions

- 4.1 From time to time, GFC or its committees may hold meetings or portions of meetings as closed meetings; at that point, proceedings will be confidential and all non-members, except those specifically invited, will be asked to withdraw.

5. Questions

- 5.1 If more information than is provided as part of the meeting agenda is required, information requests may be made of the University Governance office.
- 5.2 Questions on an issue within GFC's jurisdiction may be submitted in writing to the GFC Secretary up to six working days before the next GFC meeting to receive a written response.
- 5.3 Every GFC meeting has Question Period as a standing item wherein members may raise a question during the time set aside for this item (see 6.5). Procedures for Question Period are available at governance.ualberta.ca
- 5.4 Questions with regard to a specific item on an agenda may be raised during consideration of that item at the GFC meeting.

6. Agendas

- 6.1 The agenda of each GFC meeting will be proposed by the GFC Executive Committee and approved by GFC. The GFC Executive Committee will ensure that items put before GFC are complete and ready for discussion and published in advance of the meeting.

- 6.2 If GFC members want to have an issue debated, they are asked to submit the issue to the GFC Executive Committee. Whenever possible, members wishing to add items to the agenda should contact the Chair or GFC Secretary two weeks in advance of the GFC Executive Committee meeting to allow time for the item to be added to the agenda.
- 6.3 Should a member wish to add an item to the agenda at a meeting of GFC, a two-thirds vote of those present is required; the Chair will then determine where the item appears on the agenda. In cases where the Chair or GFC Secretary has been informed in advance of a planned request to add a new item, but after the agenda has been published, the proposal shall be circulated to members through the normal means.
- 6.4 When the Agenda is being approved, the Chair will entertain a request to change the order of items, for specified reasons.
- 6.5 Each agenda of GFC and its standing committees will include Question Period of one half hour in length that may be extended with the approval of members.
 - a. Question period is comprised of both written questions and, time permitting, questions from the floor.
 - b. The Chair will rule on whether a question from the floor can be answered expeditiously; if not, it will be referred to the appropriate officer for response at the next meeting.
- 6.6 Reports from standing committees are included on the GFC agenda for information only. Questions may be asked for clarification, but no debate may take place on such items.
- 6.7 Reports for Information may be moved to the discussion part of the agenda if a member gives two days notice to the GFC Secretary to ensure that an appropriate person is present to answer questions that may arise during discussion.
- 6.8 Agendas and materials for open session meetings are posted at governance.ualberta.ca

7. Quorum

- 7.1 General Faculties Council - The quorum for a GFC meeting is one-third of the total membership, except in the months of May through August when the quorum shall be one-quarter of the total membership.
- 7.2 GFC Standing Committees – The quorum for standing committee meetings is one-half of the voting members or, in the case where this is an even number, one-half plus 1 member.
- 7.3 Vacancies on committees are not included when establishing quorum.
- 7.4 Maintaining quorum - A duly-called meeting which starts with a quorum present shall be deemed to have a continuing quorum, notwithstanding the departure of voting members, unless the quorum is challenged by a voting member. In the event of a challenge, the remaining members may choose to adjourn or continue the meeting. In

the event of a decision to continue a meeting without quorum, the minutes shall record this fact and any decisions taken must be ratified at the next meeting.

8. Motions

- 8.1 Normally, all motions concerning substantive matters shall be published in the agenda materials.
- 8.2 All motions must be moved and seconded by members of GFC. Motions to appoint new members may only be moved and seconded by statutory members of GFC.
- 8.3 Motions pass with a majority vote, except for the following: (1) motions to add an item to the agenda require a two-thirds majority of those present; (2) motions to rescind a motion require a two-thirds majority of total members.
- 8.4 To make a motion, a member must be recognized by the Chair. (In the interest of clarity and to expedite business, it is advisable to provide a written motion to the GFC Secretary). The person making a motion will be invited by the Chair to speak first in any ensuing debate.
- 8.5 **Amendments to Motions** - A member may make a motion to amend the wording – and within certain limits the meaning – of a pending motion before the pending motion itself is voted upon. The amendment must be germane and cannot be used to introduce a new subject. An amendment is debatable.
- 8.6 **Motion to Adjourn** - A motion to adjourn is a motion to close the meeting. It must be seconded, is not debatable or amendable, and typically requires a simple majority vote. During the months of March and April, motions to adjourn require a two-thirds majority if substantive items of business remain on the agenda.
- 8.7 During the course of a GFC meeting, members may make a Notice of Motion for debate at the next GFC meeting. In such cases GFC Executive will be responsible for placement of the motion on the next GFC agenda.

9. Motions for Specific Purposes

- 9.1 **Motion to Table** – Enables the pending question to be laid aside until some future time. The motion cannot be debated. The mover may make a statement regarding what information they believe would be required to remove the item from the table, and the proposer of the item may make a brief comment on the impact of tabling the motion.
- 9.2 **Motion to Take From the Table** – Brings the motion back before GFC and cannot be debated.
- 9.3 **Motion to Reconsider** an item which was voted upon at the current or the last meeting. If passed, proceedings are restored to the point immediately prior to the vote to which it applies.
- 9.4 **Motion to Rescind a Motion** is only used when a Motion to Reconsider is out of time. Motions to Rescind require support of two-thirds of the total membership if no Notice of Motion was given, but only a simple majority if Notice was given.

10. Debate

- 10.1 Normally, a member may not speak for a second time until the Chair is satisfied that all members wishing to speak for their first time have done so.
- 10.2 A member who has the floor may not normally be interrupted. However, the Chair may interrupt a speaker if the speaker is out of order by using unacceptable language, is abusive of other members, or is not speaking to the motion. If the Chair does not do so, a member may raise this as a point of order.
- 10.3 **Point of Order** - It is the right of any member who notices a breach of the rules of Council to insist on their enforcement. If the Chair fails to notice such a breach, any member may make the appropriate Point of Order, calling on the Chair for a ruling. A Point of Order does not require a seconder, it is not debatable or amendable, and cannot be reconsidered.
- 10.4 **Calling the Question** - Upon hearing a member call the question, the Chair will ask members if they are ready to vote on the motion being discussed. If there appears to be opposition to closing the debate, the Chair may ask for a motion to close debate. If seconded, members will then vote on this motion and proceed accordingly.

11. Debates without Motions

- 11.1 When discussion of an issue and the formal rules pertaining to making motions, debate, and voting seem to be a hindrance to thoughtful discussion, the GFC agenda can allow for a less structured discussion guided by the Chair and the consensus of the members in attendance.

12. Attendance

- 12.1 Delegates – members who serve on GFC or its standing committees by virtue of their office may send a delegate; such delegates shall act with all the rights of membership. There shall be no alternates for other members.
- 12.2 GFC attendance - If a student misses two consecutive meetings or more than three meetings, the Students' Union or the Graduate Students' Association may request that the Chair declare the position vacant. If a faculty representative or a non-student appointed member misses two consecutive meetings or more than three meetings in one academic year without a reason satisfactory to the members of the GFC Executive Committee, the Executive Committee may declare the position vacant.
- 12.3 Standing committee attendance - If an elected member is absent from three consecutive meetings or is frequently absent without a reason satisfactory to the remaining members of the Committee, the Chair shall declare the position vacant.

13. Voting

- 13.1 All members of GFC are charged with the responsibility of examining issues before Council and voting as they judge fit on such issues. No member of GFC, regardless of how that person gains membership on Council, is an instructed delegate.
- 13.2 Motions shall normally be adopted on a simple majority of members present except to add items to the agenda which requires a two-thirds majority of those present, or for a Motion to Rescind which requires a two-thirds majority vote of total membership.

- 13.3 An abstention is not considered to be a vote cast.
- 13.4 The Chair votes only in the instance of a tie. When there is a tie vote, the motion is lost if the Chair abstains.
- 13.5 All members may participate in discussions; only voting members may move, second and vote on motions.
- 13.6 Electronic Votes by Committees – In cases where extensive deliberation is not essential to determining a course of action and it is necessary for a business item to be decided before the next scheduled meeting, the Chair and Secretary of a GFC standing committee may hold an electronic vote. The motion will be duly moved and seconded and all normal procedures will be followed in conducting the e-mail ballot. However, upon receiving the item of business and ballot, any committee member may request that the matter be debated at the next meeting or at a special meeting and the vote delayed until after that debate, with the Chair determining the appropriate course of action.
- 13.7 Electronic Votes by GFC – In cases where GFC is the electing body to populate certain selection committees and other bodies, the election process may use e-vote mechanisms.
- 13.8 Electronic Approval of Committee Reports by GFC – Reports from the Nominating and Replenishment Committees may be distributed electronically to GFC members and are considered approved by the deadlines indicated on the report subject to receipt of additional nominations.

14. Records of Proceedings

- 14.1 Official Record – The official record of meetings of GFC shall be the minutes taken by the Secretary and approved by GFC.
- 14.2 Minutes – The minutes shall reflect the decisions made and reasons for the decision.

15. Amendment of these Rules and Procedures

Rules and procedures governing meetings of General Faculties Council may be amended by a majority vote of those present and voting at a duly constituted meeting of GFC, provided that notice of the proposed amendment has been given and that a quorum is present at the time the vote is taken. Rules are reviewed every three years.

16. Links

GFC terms of reference
Question period procedures

Approved by General Faculties Council: [date]

Report of the Ad Hoc Committee on Academic Governance Including Delegated Authority

General Faculties Council

April 21, 2017

12 April 2017

Members of General Faculties Council:

I am looking forward to the Special Meeting of General Faculties Council on April 21st and encourage you to prioritize this in your schedule. As you know, on September 26, 2016, GFC approved the establishment of an ad hoc Committee on Academic Governance including Delegated Authority. The approved terms of reference call for recommendations to come forward to GFC by April 30, 2017.

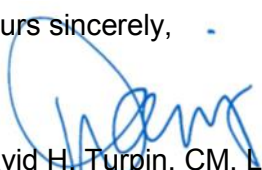
The matters considered by the committee are critical to the future of academic governance at the University of Alberta and will set the framework for good governance for years to come. The *Report of the Ad Hoc Committee on Academic Governance Including Delegated Authority* has focused on GFC's mission, that being to act on its responsibility for the academic affairs of the university within a framework structured on principles of collegial governance. This work also addresses one of the objectives in *For the Public Good*: Objective 21—Encourage continuous improvement in administrative, governance, planning and stewardship systems, procedures, and policies that enable students, faculty, staff, and the institution as a whole to achieve shared strategic goals.

Given the importance of this report and the work of the ad hoc committee, this special meeting on April 21st has been called so that all current members of GFC can consider the report together. The deadline for the report of the ad hoc committee (April 30, 2017) was selected purposefully as the term end date for current GFC graduate and undergraduate student members is April 30. This special meeting ensures that they can contribute to this process before their 2016-2017 term on GFC ends. My thanks to all members of GFC for adding this extra meeting into your calendars.

The report and other meeting materials are now posted. I look forward to an engaging, well-informed discussion:

Friday, April 21, 2017
2:00 pm – 4:00 pm
University of Alberta Council Chamber

Yours sincerely, .



David H. Turpin, CM, LLD, FRSC
President and Vice-Chancellor
Chair, General Faculties Council

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INTRODUCTION

The Alberta Post-Secondary Learning Act (PSLA) assigns to General Faculties Council (GFC) responsibility for the “academic affairs” of the university. The fulfillment of this responsibility is essential to realizing the University of Alberta’s core mission. Together, GFC’s 158 members – including elected faculty and students, administrative leaders, and representatives of other constituencies – form one of two governing bodies that comprise the university’s bicameral system of governance. The other governing body is the Board of Governors, which has primary responsibility for the business affairs of the institution. The proper functioning of the Board and GFC are essential to the university’s institutional autonomy and the processes of collegial academic governance.

The ad hoc committee on Academic Governance including Delegated Authority was established by General Faculties Council on September 26, 2016 and was tasked with reviewing academic governance at the institutional level, with a focus on the operations of GFC and its standing committees (including the delegation of authority from GFC to its committees, the mandate and structure of those committees, and related matters).

The establishment of the ad hoc committee arose out of concerns regarding the extent to which GFC was engaged in and exercising its authority over matters of academic importance, and questions around how decisions were made. Both the effectiveness and the usefulness of GFC as a governance body were being questioned.

The ad hoc committee began its work by establishing principles to guide its deliberations; these were brought to GFC and endorsed on November 21, 2016. The committee then identified the core problems that should be addressed by its recommendations:

- Lack of engagement on substantive issues
- Lack of transparency and easy access to information
- Limited clarity regarding the role and powers of GFC and its committees
- The general sense that GFC has felt disempowered
- Limited opportunities for committee participation

With these concerns in mind, the committee concluded that the task of reforming academic governance required clear principles and guidelines regarding the responsibilities of GFC members, the delegation of powers, the composition of GFC committees, and the procedural rules for meetings of GFC and its committees. Four documents were developed, for immediate approval by GFC. These documents are intended to guide the implementation of the committee’s recommendations, including revisions to standing committees and terms of reference, and also serve as a basis for future efforts to evaluate and improve academic governance at the University of Alberta. The four documents to be presented for approval address the following matters:

Guiding Principles

Commitment to the principles of ‘collegial academic governance’:

- A desire to build mutual understanding of common goals and shared purpose – operationalized in numerous ways, including the adoption of an institutional strategic plan.
- A commitment to inclusive and participatory governance decision-making.
- A desire to facilitate meaningful individual-level engagement in governance processes.
- A commitment to openness, transparency, and respectful communication.
- A commitment to responsiveness, respect, and reciprocity between governing bodies and between governing bodies and university administration.

- Principles for Delegation of Authority
- Principles for Standing Committee Composition
- Roles and Responsibilities of Members
- Meeting Procedural Rules for GFC and its standing committees

The ad hoc committee also noted during its work that the effectiveness of GFC is dependent upon structure, culture, and people. This report speaks to the structure of GFC, including standing committees and delegated authority; and it speaks to the culture of GFC, including shared commitments to collegial governance, transparency and respectful communication. But, when addressing the culture of collegial governance, the committee was clear that the vitality of GFC depends on an active commitment on the part of the university’s administrative leaders. The final piece – people – is dependent on the broader university community and those who choose to participate. The structures can create opportunities for those who are engaged, but it is up to each individual to participate in the processes of collegial governance and thus contribute to the important academic mission of the university.

BACKGROUND

General Faculties Council derives its legislative authority from the PSLA; Sections 26, 31 and 32 outline the powers of GFC in a detailed fashion but the powers can be summed by the statement that, “Subject to the authority of the board, a general faculties council is responsible for the **academic affairs** of the university...” Section 26(3) stipulates that GFC may delegate any of its powers, duties and functions under the PSLA as it sees fit. On this basis, GFC established its structure of standing committees and delegated various authorities to these committees.

Current GFC Standing Committees

Executive Committee / Nominating Committee
 Academic Planning Committee
 Academic Standards Committee
 Facilities Development Committee
 Committee on the Learning Environment
 Campus Law Review Committee
 Undergraduate Awards and Scholarship Committee
 University Teaching Awards Committee
 Replenishment Committee

HISTORICAL CONTEXT

The University Act of 1942 granted General Faculties Council authority over academic matters. At that time, this academic governance body was comprised of Deans and the President and considered a wide breadth of matters. By the early 1960s, membership of GFC had expanded and now included the Vice-President, professors, associate professors and assistant professors. By 1966, a standing committee structure was established and GFC began delegating its authority to these committees.

Over the next fifty years, the university grew in size and complexity and GFC, in response, continued the process of delegating authority to standing committees, Faculty Councils, and senior administrators. Through delegation, some matters could be approved at the committee level and thus allow GFC the time to operate as a deliberative body focused on larger issues.

One of the basic principles of good governance is for a governing body to engage in regular reviews of its structures and operations to ensure it is fulfilling its mission and meeting its needs and goals, and does so in a manner that responds to current contexts. Since the current standing committees were

established in 1966 and the delegations of authority began, GFC has struck many ad hoc committees and received numerous reports looking to make changes.

A review of current terms of reference provides ample evidence of this historic legacy illustrated by the many revisions made over the years. Indeed, the accumulated complexity of existing committee terms of reference suggests the time has come for a systematic and coordinated review of the current committee structure and an evaluation of the delegations of authority which have accumulated in committee terms of reference over the last fifty years.

Past GFC Reviews:

Between 1974 and 2004, GFC engaged in a number of internal reviews. Some were initiated as part of a renewal process, while others were spurred by the changing post-secondary landscape, including financial constraints. The majority of these were structured to look at specific concerns.

More recently, three discrete initiatives resulted in documents addressing issues of academic governance:

- 2013 – Academic Governance: Moving Forward – White Paper on General Faculties Council Reforms
- 2014 – Students’ Union Discussion Paper on General Faculties Council
- 2014 – Report of Task Force on GFC Reforms

In addition, in response to calls for increased discussion at GFC meetings, in January/February 2015 the GFC Executive Committee developed guidelines for discussion topics for GFC.

A number of themes are identified in these documents including: the lack of substantive discussion at GFC; questions regarding delegation of authority; committee structure, including role, size, number, membership, overlap, gaps (IT, research), and information flow between committees; the slow pace with which proposals go through governance pathways; and online records, particularly archives.

In 2015/16 the GFC Executive Committee established an Academic Governance Working Group (AGWG) to review these items and report back. Over the course of the year, the AGWG implemented changes aimed at increasing engagement and educating the community on availability of documents. At the end of the year, the AGWG recommended a new ad hoc committee be established with a formal mandate to address the issues further.

AD HOC COMMITTEE

The ad hoc committee began meeting in October of 2016 and met frequently over the next six months to develop the recommendations presented here. Some of the committee’s initial observations include:

- Changes that have occurred at GFC since 2015 have served to increase the number of broad discussion items and strategic priorities coming forward
- Several changes related to enhancing engagement that were suggested by the AGWG have already been implemented
- The evolving culture of GFC and experiments with innovations such as a joint meeting involving GFC, the Board, Senate and Alumni Association were already having some positive impact on the operations of GFC
- Some of the concerns raised regarding transparency are, in part, a matter of perception and can be addressed by further education

- There is a pressing need for some broad foundational work regarding core principles that would guide GFC reforms, including to committee structures and delegations of authority
- A comprehensive look at GFC and its standing committees was, indeed, overdue

The ad hoc committee thus proceeded with a process of research and consultation that included review of the committee structures at other Canadian universities and consultation with each of the standing committees and other stakeholders.

This process has informed the foundational work that, in turn, informs a set of principles, guidelines, and procedural rules that are being put before GFC for approval, and a set of recommendations that, if endorsed, will guide ongoing reform initiatives to be approved, in stages, by GFC committees and GFC itself.

There are four core elements to the ad hoc committee’s recommendations and calls for action by GFC. These are outlined in more detail later in this report, and its appendices:

1. Approval of four documents outlining core guidelines, principles and procedures
2. Approval in principle of new draft Standing Committee Terms of Reference. These draft terms of reference reflect the guiding documents but, in the spirit of collegiality, will need to go to the standing committees for refinement before coming back to GFC for final approval
3. Endorsement of a series of recommendations that can be refined and implemented under the direction of GFC Executive with the necessary approval of GFC. As the reporting deadline approached, the ad hoc committee recognized that there were some areas that were going to require further work and consultation before a firm plan could come forward for approval. Recommendations are offered on these items, some of which are more fully developed than others. It is anticipated that GFC Executive Committee will provide the oversight for GFC to ensure that these items continue to develop and return to GFC on or before April 2019.
4. Finally, there are other outstanding issues that have been identified by the ad hoc committee that are brought to the attention of GFC for further consideration and future action.

The ad hoc committee recognizes that GFC exists in an ever-changing world and it is not possible to identify all of the new challenges and opportunities that will come forward in the next decades. Therefore, and in accordance with good governance principles, the terms of reference and delegations should be considered as living documents and subject to regular review. It is written into the delegations that they should be reviewed least every three years. It is anticipated that the terms would be looked at more frequently.

RECOMMENDATIONS

The ad hoc committee has provided a series of recommendations that will require various timelines for final approval and implementation; this process should be continued under the direction of the GFC Executive Committee on behalf of GFC with proposals coming forward for approval as they are fully developed. The work of implementing recommendations will begin in the fall of 2017 and should be completed on or before April 2019.

The recommendations below are organized under a number of titles; however, it is important to remember that few of these recommendations stand alone. The components of GFC and academic

governance are complex and inter-related and should be viewed as an entire system with pieces in one section speaking to other sections.

The recommendations are organized under the following headings:

- General Faculties Council
- Delegated Authority
- Committee Composition
- Free-standing Nomination Committee / Disbanding of Replenishment Committee
- Research Governance and the Academic Planning Committee
- Program Approval and Regulations
- GFC / Board of Governors Relations
- Orientation and Education
- Task Oriented Committees
- Areas and committees requiring further work and consultation

GENERAL FACULTIES COUNCIL

Many of the recommendations in this report will have an impact on GFC members' understanding of academic governance and their level of engagement in General Faculties Council and its committees. There are, for example, recommendations to increase the number of GFC members on standing committees, improve orientation processes and clarify the responsibilities of GFC members, and provide clear principles to guide delegations of authority from GFC to its committees.

Two of the ad hoc committee's recommendations aim to improve opportunities for early and meaningful debate on important issues. The committee is aware that GFC members have been concerned about the lack of opportunity for fulsome debate on significant and strategic matters. Some members have complained that GFC seemed to be 'rubber stamping' proposals rather than shaping their content. In order to ensure GFC has opportunities to contribute to the content of significant proposals and shape the direction of policy, it is recommended that matters of significant academic importance or interest be brought to GFC for early consultation before proceeding through the regular approval pathway.

Recommendation: THAT opportunities be created to allow agenda items that are in the development stage to come before GFC for early consultation and discussion, and that this shall include items that will be considered for approval by standing committees as well as items that will eventually be decided upon by GFC.

A reinvigorated GFC that is making important contributions to policies and initiatives that are critical to the academic mission of the university will require additional meetings and more time for discussion and debate.

Recommendation: THAT GFC schedule eight meetings per year between September and June.

DELEGATED AUTHORITY

General Faculties Council delegates some of its provincially-mandated authorities to its standing committees, individuals and other campus bodies. Delegation is essential to efficient and timely

decision-making and allows GFC to focus on substantive and strategic issues of broad relevance to the university community. The ad hoc committee's specific recommendations relating to delegated authority are as follows:

Recommendation: THAT substantive and strategic issues of broad relevance to the university community should be brought to GFC for early consultation regardless of whether authority for those issues has been delegated to another body or individual

Recommendation: THAT the GFC Executive Committee be responsible for ensuring that all delegations of authority are reviewed at a minimum once every three years

Recommendation: THAT delegations of authority to GFC standing committees and any sub-delegations be clearly articulated in the terms of reference of each affected standing committee

Recommendation: THAT a comprehensive record of all delegations and sub-delegations of GFC authority be compiled and curated by the GFC Secretary

Recommendation: THAT when individuals, standing committees and other bodies are uncertain as to whether an item falls within the intended delegation or whether the significance of an issue and the division of opinion on the issue suggest that it is an issue that should be considered by the full GFC, that individual, committee or body should err on the side of caution and refer the matter to full GFC

These recommendations are contained in the Principles of Delegation that should be used to inform the regular review of delegations and to consider proposals to create, remove or change delegations.

COMMITTEE COMPOSITION

The standing committees of GFC should be organized to reflect the composition of GFC including ex-officio, elected and appointed members. In some cases, the membership has been expanded to include members from outside of GFC who bring specific expertise or perspectives that allow committees to make the best decisions for the university.

When considering committee composition, the ad hoc committee discussed how to decide who would be eligible to be voting members of the committees, and the balance between ex-officio, appointed and elected members, among other issues. The ad hoc committee is of the opinion that to accomplish the work delegated to them, and to increase the engagement of GFC members in the business of committees, it is important that a significant number of members of GFC committees be GFC members. The ad hoc committee also concluded that it is useful to require, whenever possible, that each committee elect a faculty member who is a member of GFC to serve as the Committee Vice-Chair. These initiatives will help strengthen the link between GFC and its committees.

The ad hoc committee also discussed the importance of deepening the engagement of student members of GFC. Committee members believe that having student members of GFC populate student positions on GFC committees will provide insights into the work conducted by GFC's committees, and provide students with productive opportunities to work on issues with greater depth.

With regard to the voting rights of GFC committee members, the ad hoc committee has accepted the Ombuds Office's request that it be viewed as a service unit and hold only non-voting positions on committees where it has representation. Of more broad significance, the ad hoc committee

recommends that the voting status of ex-officio members of standing committees be determined by their voting status on GFC – ex-officio members of committees who currently sit as voting members of GFC will also be voting members of any committees they are on; those who do not vote at GFC will be restricted from voting on GFC committees.

When considering relationships between committees, the ad hoc committee considered where formal cross-appointments between committees would be useful. In cases where it was decided that cross-appointments are productive – including between GFC Executive and APC, between APC and ASC, and between APC and FDC – it is recommended that these members have voting status at both committees.

Principles of Committee Composition were developed to guide decisions regarding the composition of committees. These are fleshed out in the Principles of Committee Composition document, but include the principles recommended here:

Recommendation: THAT elected positions on GFC standing committees be filled, as much as possible, by members of GFC

Recommendation: THAT each committee should elect an academic staff member who, whenever possible, is a member of GFC, as Vice-Chair

Recommendation: THAT ex-officio members on standing committees vote in accordance with their voting status on GFC

FREE-STANDING NOMINATING COMMITTEE / DISBANDING OF REPLENISHMENT COMMITTEE

Currently the Nominating Committee is a sub-committee of the Executive Committee. Its members include the elected members and ex-officio student members of the Executive Committee and a non-academic staff member of GFC. While this structure has been effective in the past, members of the Nominating Committee believe their effectiveness as a committee is constrained by the fact that its role in managing the nomination process is an additional duty rather than their primary focus. Some GFC members have also noted that having the Executive Committee be responsible for nominations contributes to perceptions of concentration of authority and lack of transparency.

The ad hoc committee is recommending the establishment of a free-standing Nominating Committee charged with responsibility for encouraging, identifying, and securing a diverse group of individuals who are prepared to be active and engaged members of GFC committees. Once the new Nominating Committee is established, the existing Replenishment Committee – which currently replenishes the Nominating Committee – could be disbanded.

A move in this direction will need to be implemented in stages to ensure time to transition from the old to the new committee structure, and to review and revise processes and timelines for replenishment and nomination.

Recommendation: THAT a free-standing Nominating Committee be established

Recommendation: THAT the Replenishment Committee remain in place in the interim and be disbanded when no longer needed

RESEARCH GOVERNANCE AND THE ACADEMIC PLANNING COMMITTEE

GFC is responsible for the academic affairs of the university, which should be understood to include setting and overseeing policies that have broad consequences for the facilitation, conduct, and management of research. In practice, some aspects of decision-making authority regarding research-related issues are delegated to executive and administrative decision makers, including to researchers themselves. This is consistent with good governance, effective administration, and academic freedom. However, consistent with the principles of collegial academic governance, GFC maintains authority over core, framework-defining research policies. The question the ad hoc committee considered was where, within the GFC committee structure, responsibility for research policy should be delegated. Consideration of this question is motivated, in part, by a desire to ensure sufficient attention and priority is dedicated to an area of policy that is central to the university's success and stature as a major research-intensive university.

Background

GFC has not had a stand-alone research committee since 1976, when the Research Committee was disbanded and its responsibilities were transferred to the Council of the Faculty of Graduate Studies. At some point, however, GFC committees reassumed authority over research policy, but in the context of committees with broader responsibilities for academic development and planning. Currently, the Academic Planning Committee (APC) has primary responsibility for research. As a senior GFC committee, APC is empowered to consider or recommend to GFC on any academic issue, including "any research-related issue." APC is, moreover, specifically empowered to make recommendations concerning policy matters and actions respecting research-related matters such as establishing or terminating endowed and funded chairs and academic centres and institutes.

Despite the fact that APC has a mandate that extends to the full range of research policies and issues, the 2014 Task Force on GFC Reforms reported that research matters are "seldom addressed in GFC committees." Research and research policy do not receive extensive or sustained attention by GFC or any of its committees.

At present, the committee that deals most directly with research and research policy is the University Research Policy Committee (URPC). URPC is an advisory committee to the Vice-President Research, makes recommendations on research policy and decision-making, and serves as a conduit through which administrative policies are transmitted to faculty members. It does not make recommendations directly to GFC or any of its committees – it is a committee of 'administration', not 'governance'.

Many Canadian universities have standalone research committees as a part of their governance structure. A number of university Senates (Note: outside Alberta the university Senate is equivalent to our General Faculties Council) have standing Research Committees, including: UBC, Calgary, Saskatchewan, Manitoba, Western, and Queen's. Some of these committees have broad responsibility that, like the University of Alberta's APC, includes 'learning and research' or 'academic programs and research'. But, others have more narrow mandates focused specifically on research. The key commonalities in the terms of reference for these committees include responsibility for advising on research policy, promoting institutional research, governing centres and institutes, and receiving and reviewing reports related to matters such as funding by granting agencies and human and animal ethics. The University of Calgary's Research and Scholarship Committee is characterized as GFC's "primary advisory group on research and scholarly initiatives, issues, and activities." The ad hoc committee

believes it is essential that a research-intensive institution, such as the University of Alberta, have an academic governance committee mandated to consider high-level research issues as a part of its governance structure.

Options and Recommendations

The 2014 Task Force on GFC reforms pointed out that it is not inconsistent with good governance to delegate most or all decision-making authority regarding research-related issues to well-chosen executives such as the Vice-President (Research) and administrative decision-making bodies like URPC. But, such delegation limits GFC's active responsibility for an area of policy that is central to academic affairs and reduces opportunities for collegial self-governance. Thus, the ad hoc committee was quick to reject more explicit administrative delegation and focused, instead, on two options for clarifying and focusing renewed attention on research policy within the structures of GFC.

1.) Amend APC's terms of reference to clarify in more detail its delegated authority with regard to research-related issues:

This option would clarify (for GFC and the university community) the place of research policy in governance, and enhance the extent to which the committee would be more proactive in taking up research-related issues. It would likely result in research issues being addressed more regularly in the context of a senior GFC committee, while not negatively impacting the productive role that URPC has come to play as an advisory committee to the Vice-President (Research). It would, however, be important to ensure that any amendments to APC's terms of reference did not leave the committee over stretched. APC already meets very frequently and has a wide variety of concerns to address.

2.) Delegate authority over research-related issues to a new research-focused committee – the GFC Research Committee:

Rather than leave responsibility for research policy and research-related issues with APC, which is currently the GFC committee with the broadest mandate and responsibilities, GFC could establish a new committee with new terms of reference focused specifically on research policy and related issues. To avoid creating a new 'layer' of governance decision-making, this committee would have to assume full responsibility for research matters currently delegated to APC, as well as for providing strategic advice to GFC on a broad range of research-related issues. The primary benefit of this option would be the renewed focus on research policy and issues; it would create a dedicated space within the structures of collegial governance for proactive research policy initiatives. It would be important, however, for this committee to avoid duplicating or undermining the value-added advisory role currently played by URPC. Some individuals consulted by the ad hoc committee wondered if, given the currently limited volume of research-related issues on the agendas of existing GFC committees, a new stand-alone GFC Research Committee might find itself without a sufficiently full agenda. This could undermine the goal of increasing the visibility and perceived importance of research to GFC.

Initially, the ad hoc committee was predisposed to recommend the creation of a new stand-alone GFC committee with responsibility for research policy and research-related issues. However, when the committee's deliberations shifted from the place of research in academic governance to the question of the future of APC, opinions shifted. The committee agreed that APC's role requires clarification. The existing APC terms of reference identify a long list of responsibilities, but those do not seem to be organized around a clear perspective on the meaning of 'academic planning'. Work on APC's terms of

reference identified matters that are more properly the purview of the Executive or Academic Standards Committee, as well as issues that could be addressed by a reinvigorated Committee on the Learning Environment (CLE) that is empowered to recommend directly to full GFC. In time, the committee was convinced that its goals related to the profile of research issues and policy could be achieved in concert with clarifying the role and cleaning up the terms of reference for APC. A decision was taken to recommend transforming APC into a new Academic and Research Planning Committee (ARPC).

Recommendation: THAT GFC's Academic Planning Committee be replaced by an Academic and Research Planning Committee (ARPC)

Recommendation: THAT the new Academic and Research Planning Committee assume the academic planning responsibilities of APC, as well as responsibility for research and research policy, including Academic Centres and Institutes, research ethics, copyright and intellectual property, postdoctoral fellows, field research policy, and funded and endowed chairs

PROGRAM APPROVAL AND REGULATIONS

A fundamental role of GFC in academic governance is to set university-wide academic regulations, and approve new programs and changes to existing programs. The role of GFC is distinct from the role of the Office of the Provost and Vice-President (Academic) in overseeing the development of new programs and changes to existing programs and their alignment with institutional goals and the procedures set out by the Ministry of Advanced Education.

The approval pathways related to programs and regulations can be convoluted and burdensome for those proposing them. The current standing committee structure does not appear to provide a cohesive approach to these activities as portions of proposals can follow different approval pathways; this results in the appearance of a confusing, slow and cumbersome pathway for approval of new programs, program changes and course changes.

The recommendations in this section seek to ensure that the governance oversight expected by GFC is in place and that proposals follow pathways that are clear and add value at each step. Some changes are proposed which add value to the proposal and some provide a more transparent and seamless pathway to approval. The changes will ensure: approval processes are streamlined yet rigorous; that necessary consultations occur; that there is clarity with regard to which bodies have authority for particular approvals; that value is added at each step; and that resources are used efficiently.

Once the university's internal processes have approved proposed programs, proposals must often be forwarded to the provincial government and the Campus Alberta Quality Council (CAQC) for approval. This step often adds significant time to the final approval and should be taken into consideration by proposers.

The Role of the Academic Standards Committee

ASC plays an integral role in reviewing and approving matters related to programs, courses, and regulations. The recommendations that follow include utilizing the expertise of this committee even further by expanding its role in reviewing and providing advice on program proposals.

Past reviews of GFC have called into question the high proportion of ex-officio members on this committee and the very few elected GFC members. The ad hoc committee also struggled with this issue

as the principles of committee composition were being drafted with a clear intention of greater GFC representation on its committees.

The current composition of ASC includes the Dean of every Faculty. In practice, the Associate Dean sits as the Dean's delegate. These individuals arguably have the most hands-on experience of program issues of anyone at the university. The Associate Deans who sit on ASC are all experienced academics many of whom continue to teach during their time as Associate Deans. They are not mere bureaucrats, but academic staff members who have been chosen by their Deans for their willingness to work hard to administer and improve academic programs within their own Faculties. They are necessarily student-oriented and keep student issues top of mind when reviewing proposed changes. Their Deans rely on them to both represent their Faculty and work in the best interests of the university overall.

It is a collegial group that attempts both in meetings and through other informal means to share best practices in both program administration and student issues. The individuals who appear before ASC as proposers or presenters often come away from an ASC meeting with a fuller understanding of how the university operates, and how other units handle the inevitable problems and issues that can arise.

The presence of every Faculty (including Extension and FGSR) on ASC ensures there is an inclusive and participatory process to assist proposers to craft the best proposal possible. The presence of every Faculty also ensures that the whole University community becomes aware of the innovation or changes that are taking place in another Faculty and often spurs changes in their own areas. All Faculties benefit from seeing well-designed proposals.

ASC is a hard-working and well-functioning committee of knowledgeable and committed members. The ad hoc committee considered that ASC should be an exception to the committee composition principle as the level of expertise brought to this committee, and the value that it added to proposals approved at that level or recommended to APC was essential to the university.

Recommendation: THAT the ex-officio membership on ASC remain unchanged; and that the membership be expanded to include two additional elected GFC members and the Associate Dean of Students as a non-voting member

Course and minor program changes

Currently the process for course and minor program changes is governed by section 37 of the GFC policy manual – this process is commonly referred to as 'course circulation'. The delegated authority for approving course changes and minor program changes rests with Faculty Councils; the limitation on this authority is that the proposed changes are subject to 'challenge' by the university community following circulation. This policy also empowers GFC Executive to ratify new course designators and course re-numbering, and to resolve challenges arising from the circulation that cannot be resolved between Faculties. This system has been in place since the 1970s. It was meant to reduce the workload of the GFC standing committee that had responsibility for these matters. It is evident, however, that the current process remains inefficient and requires significant resources. The ad hoc committee proposes that the Academic Standards Committee Subcommittee on Standards be charged with conducting a thorough review of the current policy to develop a process that is transparent, easy to understand, and streamlined.

Furthermore, given that ASC includes representation from all Faculties and the Registrar's Office, and the membership normally includes those involved in reviewing proposals under section 37, the ad hoc committee believes that ASC would be better placed than the Executive Committee to be responsible for ratifying new course designators and approving course re-numbering proposals.

Recommendation: THAT, over the next year, the ASC Subcommittee on Standards be charged with reviewing and revising the policy on course and minor program changes

Recommendation: THAT the delegated authority to ratify new course designators and to approve re-numbering of courses move from the Executive Committee to the Academic Standards Committee

New Programs

Proposals for new programs go through many stages of internal approval the majority of which require ultimate submission to the government. Once approved by Faculty Council and prior to submission to APC, the proposal goes to ASC-SOS and ASC for approval of admission, transfer, and academic standing regulations; new courses are approved through course circulation; and final program approval occurs at APC (except in the cases of new credentials which are approved by the Board).

To contribute to a cohesive and robust process, it is recommended that ASC could play an additional advisory role with new program proposals. Currently, ASC is restricted to admissions, transfer and academic standing. Allowing ASC to comment on other components of the program would provide a tighter proposal going forward to APC and fewer revisions. Not making change is a lost opportunity for improving the quality of proposals that are submitted to the Ministry of Advanced Education and CAQC for approval and resolving issues when new policies of a program impact students in other Faculties.

ASC's powers would be limited where proposed new programs or certificates or changes to existing programs or certificates involved cooperation with other post-secondary institutions, requirements for new or renovated facilities, additional funding or space, program changes that represent a definite departure from current policy or articulate a new academic concept, or where the changes would require government approval. In these cases, ASC would provide a recommendation to APC which would continue to hold the delegated authority to approve.

ASC should be given greater authority over content matters in new program proposals or in changes to existing programs. ASC should be mandated to recommend to APC on all academic aspects including the structure of new programs and changes to existing programs. New course proposals that accompany new programs or changes to existing programs should be reviewed at the same time, and approval permitted pending the circulation process. Should the circulation process raise concerns, the matter would be referred back to ASC for resolution.

Recommendation: THAT the role of Academic Standards Committee be expanded to allow the committee to comment on all academic portions of program proposals including program structure of new programs and changes to programs

Recommendation: THAT the Academic Standards Committee review and approve courses associated with new programs, subject to challenge through the normal course circulation process

Suspension and Termination of Programs

Currently, program terminations are considered and recommended by APC to GFC for recommendation to the Board of Governors. The Academic Standards Committee, on the other hand, has the delegated authority to approve program suspensions. This creates a situation where APC may receive a proposal to terminate a program that has been suspended for five years and would be difficult to re-establish if the termination was not approved. In addition, when a program renewal is being proposed, it is not unusual that some programs are suspended to allow current students to complete while new programs are being introduced to replace the suspended programs. Having these two processes handled by different committees makes the process unwieldy for the proposers without giving the committees a full picture of the proposal. As APC is recommending to GFC on terminations, it is reasonable for that committee to also approve suspensions. ASC should be given authority to recommend to APC on both suspension and termination of programs and be responsible for vetting the Calendar language for such proposals; final approval would rest with APC.

Recommendation: THAT the delegated authority to approve the suspension of a program move from Academic Standards Committee to the Academic Planning Committee

Recommendation: THAT the Academic Standards Committee recommend to the Academic Planning Committee on program terminations and suspensions and vet the Calendar language for such proposals

Program Changes

Given the recommendation above to alter the role of ASC with regard to reviewing and recommending on new programs and termination of proposals, the ad hoc committee believes adjustments should be made with regard to ASC's authority to make recommendations regarding program changes. A move in this direction will add to system coherence, while ensuring issues that might arise in other units are identified prior to final approval by APC.

Recommendation: THAT the Academic Standards Committee recommend to the Academic Planning Committee on program changes

Certificate Programs

ASC has the delegated authority to approve establishment, termination, and changes to credit and non-credit certificates from all Faculties except where new funding or space is needed or the certificate requires government approval. At this point in time, all free-standing for-credit certificates require approval by government; embedded certificates are approved internally. While it makes sense for certificates with resource implications to be further considered by APC, it seems incongruous that certificates requiring government approval must be approved through APC and the Board Learning and Discovery Committee when degree programs (which are not new credentials) are approved by APC. It would make sense that certificates with no resource requirements be approved by ASC unless they contravene the principles of delegated authority approved by GFC by, for example, involving multiple Faculties or large numbers of students.

Recommendation: THAT the Academic Standards Committee be given the delegated authority to approve establishment, termination and changes to certificates for all Faculties; those requiring additional funding and/or space would be recommended to the Academic Planning Committee for approval

Proposals from the Centre collégial de l'Alberta (CCA)

The first college level diploma program to be offered by CCA was approved by the Board of Governors in June 2011. This represented a new level of programming for the University of Alberta and an appropriate governance pathway needed to be developed. In December 2012, the GFC Executive Committee, on behalf of GFC, approved the motion to delegate authority to approve the establishment and termination of diploma programs offered by CCA to the Academic Planning Committee (APC) except in cases where a new funding model is proposed. The ad hoc committee noted that the Academic Standards Committee (ASC) has delegated authority with respect to credit and non-credit certificates regardless of the proposing academic unit (except where there is no funding or space requirements, or government approval required) and is thus experienced in reviewing program proposals. It is felt that ASC would provide an added value to proposals and it is recommended that this delegated authority be changed.

Recommendation: THAT the Academic Standards Committee be given delegated authority to approve the establishment, termination and changes to college level diploma and certificate programs from the Centre collégial de l'Alberta; those requiring additional funding and/or space would be recommended to the Academic Planning Committee for approval

GFC / BOARD OF GOVERNORS RELATIONS

For the university's bicameral governance system to work efficiently, it is important to recognize the Board's role as steward of physical, financial and human assets, and GFC's mandate over academic issues. Interaction and overlap of these roles is unavoidable and it is important to use these as opportunities to understand each other and benefit from the expertise of each body.

The ad hoc committee noted that currently the primary formal interaction of these two bodies occurs in the context of an annual joint briefing of the Academic Planning Committee (APC) and the Board on the university's Comprehensive Institutional Plan (CIP). This event provides a valuable opportunity for the two bodies to exchange views on the budget, institutional priorities, and strategic directions, while providing important feedback to administration. With greater awareness of the value of this opportunity, members of APC could do more to take advantage of this annual briefing.

There is also regular interaction between the Board and GFC by way of representation and reporting. There are seven members of GFC who also serve on the Board, one of which is the GFC elected representative on the Board; the others are the President and Chair of GFC, the Presidents of both the Students' Union and the Graduate Students' Association, appointed members of the AASUA and NASA, and an elected undergraduate student. The elected GFC representative provides written reports of activities and decisions to both GFC and the Board. These are included on the agendas as information items and members may ask for the report to be brought to the discussion part of the agenda. The ad hoc committee noted that this is a passive flow of information and suggested that the GFC representative may wish to give a verbal report to GFC upon occasion, as this would provide a more interactive form of reporting. Further, the Chair of GFC may use the regular report of the Chair to provide updates to GFC on the activities of the Board. The ad hoc committee concluded, however, that the most valuable opportunity for creating inter-body dialogue in the context of reporting would take the form of an invitation to the Chair of the Board to attend and report verbally to a meeting of GFC.

This initiative, and the others suggested above, would deepen the relationship of understanding between GFC and the Board.

Recommendation: THAT the Chair of the Board of Governors be invited annually to speak at a GFC meeting

The value of holding an annual joint Board/GFC meeting is well supported and would provide a forum to discuss large issues such as strategic directions, budget, facilities, or other pressing issues that would benefit from having the multiple perspectives of both groups present. The topic and timing of the session would, ideally, be set through a process of consultation involving the President, GFC Executive, and the Board.

Recommendation: THAT an annual joint meeting between the Board and GFC be established

Recommendation: THAT the Chair of GFC Executive Committee consult annually with GFC Executive and the Board on the focus and goals the annual joint meeting of the Board and GFC

In considering approaches to improving GFC-Board relations, the ad hoc committee considered a number of options, ranging from planning joint orientation sessions to establishing a joint Board/GFC committee focused on strategic issues of relevance to both GFC and the Board. The committee concluded that facilitating interactions was, at this stage, preferable to institutionalizing joint structures. As such, these sorts of proposals are not put forward as recommendations at this time.

ORIENTATION AND EDUCATION

Orientation and Education are key components of a well-functioning GFC. If done well, it can provide members of the university community with opportunities to become familiar with the structures and processes of governance, while also ensuring GFC members understand their roles and responsibilities. Effective orientation helps set expectations regarding participation, and this supports individuals who wish to be effective members of GFC. After reviewing the current orientation and education processes, the ad hoc committee concluded that a more robust orientation and education effort is important to addressing weaknesses in GFC and strengthening academic governance. The committee believes enhanced education and orientation will empower GFC members, strengthen their engagement in GFC and its committees, clarify roles and responsibilities, and help address perceived and real power imbalances between members of the academy.

General GFC and GFC Committee Orientation

Orientation sessions should provide both high level governance information and detailed information on the responsibilities of members, voting protocol, seating, how meetings are structured, question period procedures, how members can report back to their constituencies, and how to get items on the agenda. It is important to recognize that committee orientation must be designed in light of the fact that those at-large members who do not sit on GFC may require additional attention. The ad hoc committee recommends that orientation and orientation materials should be provided in a number of modes and formats, including stand-alone orientation workshops, briefings at meetings, and through widely available written and online materials. A GFC member handbook or guidebook would be an ideal reference tool.

In light of the unique character of collegial academic governance, GFC members should be encouraged

to use orientation sessions to meet and get to know their fellow members and create networks which can provide informal support and community building opportunities. The following recommendations focus on improving orientation to prepare GFC and committee members to be informed and active participants in academic governance.

Recommendation: THAT a variety of orientation sessions be offered including a general orientation to governance (Governance 101), followed by orientations more specific to GFC and GFC standing committees, and follow up sessions through the year

Recommendation: THAT the responsibilities of members be clearly outlined in a core GFC document

Recommendation: THAT a comprehensive GFC and committee member guidebook be made widely available to members wanting a single reference for all the information they require to be effective in their roles

Committee Chair and Vice-Chair Orientation

Orientation for Committee Chairs and Vice-Chairs should include a discussion of delegated authority, responsibilities regarding reporting to GFC, and meeting procedures, including issues such as when Chairs vote and how to step out of the Chair to participate in debates and discussions. The ad hoc committee is particularly insistent that Chair and Vice-Chair orientations should examine the responsibility of GFC Committees to refer matters to full GFC if they are uncertain whether the item falls within their delegated authority or the significance of the issue and division of opinion on the issues suggest it should be discussed and debated by GFC itself. These orientations should also include the elected Vice-Chairs of GFC committees. As this orientation is normally held early in September, some changes may be required to accommodate the timing of the Vice-Chair election.

Recommendation: THAT orientation for Chairs and Vice-Chairs include a focus on delegated authority and reporting to GFC, including the responsibility of GFC Committees to refer matters to full GFC if they are uncertain whether the item falls within their delegated authority or the significance of the issue and division of opinion on the issues suggest it should be discussed and debated by GFC itself

Ongoing Governance Education

Education is also a necessary component that should not be restricted only to members of GFC and GFC committees. Governance has an impact on the work of many in the university community and an understanding of the governance system will serve to increase engagement, while also deepening the understanding that those who make proposals to governance have of the processes, requirements, and time lines associated with submitting proposals and securing approval of submissions. This can be accomplished in a variety of ways including adding governance sessions to the new staff and the senior administration orientations and greater visibility through *The Quad*, President's communique, and at Faculty Councils.

Recommendation: THAT governance sessions be included with new staff and senior administration orientations

Recommendation: THAT measures be taken to increase the profile and relevance of GFC, through the promotion of education sessions further to Governance 101 that are aimed at the wider university community

TASK ORIENTED COMMITTEES

A number of the committees of GFC can be referred to as task oriented in that they have very specific roles and timelines to operate under. The ad hoc committee considered that the following committees would fit under this category:

- Campus Law Review Committee (CLRC)
- University Teaching Awards Committee (UTAC)
- Undergraduate Awards and Scholarship Committee (UASC)
- Replenishment Committee (RC)

In general, these committees were seen to be working well and no major changes were recommended at this time. Both CLRC and UTAC have very well defined mandates and the delegated authority given to these committees is also well defined.

No significant issues have been noted with CLRC. Based on the work of this committee and the matters that have come before it in recent years, it was emphasized that having a Chair with legal training who would have a full understanding of these matters is highly advantageous. The terms were revised to express a strong preference for this training rather than as a requirement as it may not always be possible to find such a person willing and able to serve as Chair and there may be others in the university community who have the expertise that would also qualify them even if they are not legally trained.

Recommendation: THAT a strong preference be given to appointing a member with legal training as Chair of the Campus Law Review Committee

UASC is also operating within its mandate which does not overlap with other standing committees, however there were a number of items that the committee indicated may no longer be relevant to its work, such as minimum award values. An expanded mandate should be explored for this committee in the medium term and further details on this appear later in the report.

Recommendation: THAT no major changes be made to the Campus Law Review Committee, the University Teaching Awards Committee or the Undergraduate Awards and Scholarship Committee at this time

The only task assigned to the Replenishment Committee is to provide recommendations to GFC for members to serve on the Executive Committee and the Nominating Committee. Should GFC move to a free-standing Nominating Committee, there will no longer be the need for a Replenishment Committee and it would be disbanded. In the meantime, no changes are recommended for this committee.

Recommendation: THAT no changes be made to the Replenishment Committee and that it be disbanded once the Nominating Committee is established and appropriate processes are in place to do its tasks.

AREAS AND COMMITTEE REQUIRING ONGOING WORK AND CONSULTATION

Council on Student Affairs (COSA)

In developing the guiding principles presented in this report, the ad hoc committee discussed the commitment to providing a structure that allows for the active and engaged participation of all

members. Through the review process, it was apparent that there was frustration on the part of students, administration and other GFC members in a perceived lack of discussion on issues involving students at GFC. It was also noted that students feel that better student consultation and input is needed, rather than more student consultation and input.

Under the PSLA, “A general faculties council **may** establish a council on student affairs to exercise immediate jurisdiction over student affairs with respect to any matters and in any manner the general faculties council determines and to exercise or perform any other powers, duties and functions the general faculties council determines”. At the University of Alberta, a Council on Student Affairs (COSA) was first established in 1966. Since that time, COSA has gone through active periods where it dealt with matters aimed at improving the quality of student life (student life, student services and programming, forum for discussion, and communication and cooperation among all offices and organizations), and other times where it has laid dormant. COSA’s terms of reference are approved by GFC and it is called upon to report to GFC annually on its activities but it does not exist under the governance structure that GFC and its standing committees do.

A review of the current status of COSA, including meeting materials and discussions, indicated that COSA is not viewed as serving a valuable purpose but is limited to information sharing, infrequent meetings and limited records of discussion. There is a lack of clarity on the mandate and role of COSA and how it fits into academic governance. This has led to a period of inactivity for this group and led to questions about its viability and usefulness.

The ad hoc committee is recommending that COSA be re-imagined to become a more formal part of the governance system. This would involve a re-structuring of COSA to align it with the guiding principles presented in this report with a GFC member as Chair and support provided by University Governance; the meeting schedule and support would then mirror that of the GFC standing committees. This formalization of its status would also provide for improved linkages between COSA and GFC and its standing committees. This change would contribute to an improved sense of commitment on the part COSA members and allow issues affecting students to be presented, discussed and carried to a vote. Documentation would then form part of proposals proceeding to GFC or its standing committees and assure these bodies that a substantial discussion had occurred at COSA and student perspectives were included. This would not, however, replace those targeted consultations necessary with specific groups of students on certain issues.

The ad hoc committee recommends that GFC Executive establish a working group to revise COSA terms of reference in alignment with the guiding principles for GFC and its committees. The revision should consider giving COSA responsibility to recommend and provide advice to GFC, its Executive Committee, and/or the GFC Academic Planning Committee (APC) on the matters which:

- focus on the quality of co-curricular student life on all campuses (student services, residence life, athletics, etc)
- focus on quality of life for groups of students on campuses (aboriginal students, international students, etc)
- focus on curricular issues that impact a majority of students (Academic schedule, etc)

COSA could be the first mechanism through which the above issues are raised; particular issues may be delegated to more appropriate bodies. In addition, COSA may hear reports from administrative committees that are not part of the governance process, but are the key first step in the consultation process.

Recommendation: THAT COSA be brought under the governance umbrella and be supported by University Governance

Recommendation: THAT the GFC Executive Committee establish a working group to revise the COSA terms of reference in accordance with the principles of GFC and its standing committees and reflect a role and mandate that gives student issues a well-defined venue for discussion and a clear pathway for comments to reach GFC

Recommendation: THAT the current COSA remain in place in the interim and be disbanded when no longer needed

Committee on the Learning Environment (CLE)

CLE is engaged in work that speaks to a core mission of the University – teaching and learning. The committee, however, holds no delegated authority, reports to two other standing committees (Executive and APC), may be perceived to be informational rather than action driven, and is guided by vague words such as fostering, nurturing, and promoting in its terms of reference. The committee is populated by well qualified, committed individuals who could contribute in a more focused manner with a clearer mandate.

The ad hoc committee recommends that CLE be directed to do further work toward revising its terms of reference. This effort should consider the following:

- Could the terms of reference use language that is clearer and stronger than ‘nurturing, promoting, and fostering’?
- Should CLE have a reporting structure that has the committee submit reports to and engaging in ongoing dialogue on those reports with GFC Executive?
- Should CLE have responsibility to recommend to GFC on broad policy directions, including with regard to policy directions for excellence in teaching and learning and making recommendations regarding the learning environment, both of which are currently matters included in APC’s terms of reference?
- Could CLE clarify and potentially expand its mandate with respect to Learning Services and the Centre for Teaching and Learning?
- Should there be changes to composition of CLE? For example: remove Vice-President (Research), add a Librarian (A 1.4) to boost linkage between GFC and Learning Services, add a sessional staff member (A2.1), elect rather than appoint a Dean, and reduce the number of appointed Associate Deans from two to one.

Recommendation: THAT the responsibility to “recommend to GFC on broad policy directions for excellence in teaching and learning in a manner that ensures accountability of all Faculties in this matter” be moved to the Committee on the Learning Environment from the Academic Planning Committee

Recommendation: THAT committee composition be changed as follows: remove Vice-President (Research) and one Associate Dean, add a Librarian (A 1.4) to boost linkage between GFC and Learning Services, add a sessional staff member (A2.1), elect rather than appoint a Dean

Undergraduate Awards and Scholarship Committee (UASC)

This standing committee continues to provide a valuable service to GFC in approving undergraduate awards; however, input received during this review point to the potential of this committee to play a strategic role in the awards process to ensure alignment with institutional goals. The committee could also play a more defined role in monitoring the awards process. Alignment between undergraduate and graduate awards could be explored further by the committee and the Faculty of Graduate Studies and Research (FGSR) Graduate Scholarship Committee.

The Student Financial Support Office should provide an Annual Report to UASC on the previous year's award cycle, highlighting issues in the application process or where awards are not given out. UASC should have a role in monitoring awards, with particular attention being paid to issues or problems in the application process, or with awards that are not given out due to problems with award criteria.

UASC's role in policy development should be strengthened with an explicit reference to how awards policy can assist in the implementation of the Institutional Strategic Plan, *For the Public Good*. Policy recommendations should continue to be sent to GFC Executive Committee. UASC should provide an Annual Report to GFC, highlighting the number and value of new awards, any changes to existing awards or awards policy, and any discussion which has taken place on any proposals within UASC's mandate. This would provide GFC members insight as to the direction that the awards process is taking within the university, and potential problems and issues.

Recommendation: THAT the Undergraduate Awards and Scholarship Committee work with relevant stakeholders to propose revisions to the committee's terms of reference to provide a more strategic and comprehensive mandate and role

Proposals from the Faculty of Graduate Studies and Research (FGSR)

Further work should be conducted to articulate more explicitly the unique nature of FGSR Council in developing policies that apply to all graduate students and what the approval route should be for these changes. Due to the breadth of representation at FGSR Council, and considering that graduate students exist across the university, the question of whether FGSR Council should be recommending directly to GFC as opposed to ASC and/or APC on some matters should be explored.

Recommendation: THAT further work and consultation occur with FGSR and Governance to develop a proposal for approval pathways that recognizes the unique nature of the Faculty

Faculty Councils

Within the structure of academic governance, there is an apparent disconnect between Faculty Councils and GFC. The PSLA lays out GFC's authority with respect to Faculty Councils but it is unclear how these bodies relate to each other in practice.

The ad hoc committee recommends that further work occur on this item including:

- Delegated authority from GFC to Faculty Councils, and subsequent sub-delegations, should be identified and curated

- Ensure membership, quorum requirements, and terms of reference are easily accessible on the University Governance website and that GFC's role in approving these is clear
- Provide links on the University Governance website to Faculty Council information for each Faculty
- Develop a clear reporting/communication structure from GFC members to their respective Faculties

Recommendation: That the link between GFC and Faculty Council be more clearly defined and delegated authority be identified and curated

Other Delegations

GFC's delegations to standing committees have become clearer through this process. It is abundantly clear, however, that there are many places where GFC has delegated authority for approval to other bodies and officers.

Recommendation: That the Governance staff continue to work to identify and curate the list of GFC delegated authorities to other bodies and officers, and report the results of these efforts to GFC Executive Committee for consideration in the context of ongoing evaluations and reforms to academic governance

TERMS OF REFERENCE

To ensure consistency across the terms of reference, the ad hoc committee developed a standard template that contains the following:

1. Mandate and Role – the new terms state clearly and concisely the role of the committee
2. Areas of Responsibility – provides a general list of what types of matters are considered by the committee
3. Committee Composition – now specified in accordance with Principles of Committee Composition document that accompanies this report
4. Delegated Authority from General Faculties Council – provides a quick list of matters that the committee has authority to approve
5. Responsibilities Additional to Delegated Authority – provides an overview of those matters on which the committee considers and/or recommends, but does not have the authority to approve
6. Sub-delegations from Committee – provides a quick list of those delegated authorities which have been sub-delegated by the committee to other bodies or officers
7. Limitations to Authority – provides a list of the limits to the delegated authorities listed in section 4
8. Reporting to GFC – committees are required to regularly report to GFC on their activities and decisions
9. Definitions – provided as required
10. Links – to other documents which are related to the committee such as policy and procedures, and other committees

GFC and all committee terms of reference must be approved by GFC. The draft terms of reference prepared by the ad hoc committee will need to be reviewed, amended or completed, and approved by the relevant committee, prior to being forwarded to full GFC for consideration and approval. The ad hoc

committee recommends that a review of each committee's terms of reference occur every three years, or more often if required.

MAJOR CHANGES TO TERMS OF REFERENCE

In addition to the new format, there are a number of changes that are reflected in most or all committee terms of reference:

- Inclusion of a Vice-Chair elected by the committee from the academic staff members, ideally a GFC member
- Addition of more GFC elected members and fewer at large and appointed members
- Procedural matters have been removed from terms of reference and included in a separate document on Procedural Rules for GFC and its Standing Committees
- Sections which were outdated or covered in policies or other documents have been removed (eg matters covered by FOIP legislation and references to residence codes)

In addition, the attached terms of reference will reflect the recommendations included in the report. Some of the major changes are:

- The Academic Planning Committee be replaced by the Academic and Research Planning Committee with a higher profile to the research responsibilities of the committee
- There was extensive discussion about the 'routine and urgent' mandate of the Executive Committee. The terms of reference now articulate what falls under the authority of Executive Committee and delineates how that committee should approach matters to which it is acting on behalf of GFC which cannot wait until the next GFC meetings
- Oversight of governance rules and procedures was added to the responsibilities of the Executive Committee
- Establishment of a free-standing Nominating Committee
- Moving approval authority for program suspensions from Academic Standards Committee to Academic Planning Committee
- Ratification of course designators and course renumbering moved from Executive to Academic Standards Committee
- Allowing Academic Standards Committee to provide comments on new program proposals beyond admission, transfer and academic standing. Recognizing that the expertise and breadth of experience of that committee, this will provide a value-added component to the proposal before it moved onto Academic Planning Committee.

FUTURE WORK TO BE DONE

COMPOSITION OF GENERAL FACULTIES COUNCIL

Through this review, the ad hoc committee recognized that it had not tackled the important issue of the size of GFC itself. A decision-making body of 158 members composed of administration, faculty, students, and other constituencies is not ideally suited for the sorts of meaningful conversations and debates that should animate collegial academic governance. Over the years, the challenges associated with handling the many decisions and approvals originally envisioned as the responsibility of GFC have

been dealt with by moving much of its work to the committees where smaller, more agile groups can accomplish this in a streamlined fashion. This should free up full GFC to engage in substantive discussions of the most significant and pressing issues. As part of the renewal process, the ad hoc committee believes the composition of GFC should be examined to ensure that the body is achieving its mandate and capable of informed and meaningful debate. Ideally, once the recommendations in this report have been implemented or initiated, GFC Executive will lead an effort to once again address the issue of the composition of GFC.

Recommendation: THAT the composition of General Faculties Council be reviewed on or before April 2019 with the intention of decreasing its size, keeping in mind the parameters of the PSLA

TRANSITIONING

All of these recommendations cannot, of course, be implemented immediately or at once. After GFC approval of the four guiding documents, and the terms of reference in principle, the detail work and consultation will occur.

The first step will be for the draft terms of reference to return to the committees for refinement. It is anticipated that there will be discussion and consultation related to specific recommendations and an evaluation of how some of the recommendations can be operationalized. Once the terms of reference are complete and endorsed by the committee, they will proceed to the Executive Committee and to GFC for approval. A November 2017 target for these to come back to GFC for approval will be achievable for some committees. Others will take longer but should be complete by April 2019. The current delegated authorities and committee terms of reference will remain in place until such time as the new terms of reference are approved.

At the same time, further work will occur to develop direction and documents for the Council on Student Affairs and matters related to Faculty Councils. Again, these should return to GFC on or before April 2019.

As of April 30, 2017, the ad hoc committee will have completed its work. It is recommended that GFC Executive establish a transition committee to complete the implementation phase of this project.

Recommendation: THAT the GFC Executive Committee establish a Transition Committee with representatives from GFC Executive and the Ad Hoc Committee on Academic Governance Including Delegated Authority to advise and guide the implementation of the recommendations to be completed on or before April 2019

Recommendation: THAT the current delegated authorities and committee terms of reference remain in place until such time as the new terms of reference are approved by GFC

FINAL WORD

The work ahead will improve academic governance for years to come; but it will not be the end of the reform. GFC exists in an ever-changing world and it is not possible to identify all of the new challenges and opportunities that will come forward in the next decades. Therefore, and in accordance with good

governance principles, the terms of reference and delegations should be considered as living documents and subject to regular review. GFC Executive will play an important leadership role in this but not the only role. This is the ongoing responsibility of every standing committee and every member of GFC.

At the beginning of the report we noted that the effectiveness of GFC is dependent upon structure, culture, and people.

The recommendations contained here are designed to ensure that the structure of GFC and its standing committees provides an environment that is clear, easy to understand and to participate in, and workable on a day to day basis.

The principles that form the foundation for the structural changes proposed reflect the culture of GFC and how it can operate with a common commitment to collegial governance, transparency and respectful communication.

But finally, it is up to you as a member of the university community to choose to engage in the processes of collegial governance and make your contribution to the academic mission of this university.

Respectfully submitted:

Mark Loewen, Chair
Steve Patten, Vice-Chair
Marina Banister
Deborah Burshtyn
Marc de Montigny
Elaine Geddes
Julie Naylor
Frank Robinson
Leigh Spanner
Betty-jo Werthmann

APPENDICES

APPENDIX 1: PRINCIPLES AND GUIDELINES

Principles for GFC Delegation of Authority

Principles for GFC Standing Committee Composition

Roles and Responsibilities of Members

Meeting Procedural Rules for GFC and its standing committees

APPENDIX 2: DRAFT TERMS OF REFERENCE

APPENDIX 3: AD HOC COMMITTEE ON ACADEMIC GOVERNANCE AND DELEGATED AUTHORITY

Terms of Reference

Membership

GFC Motion May 30, 2016 to create ad hoc committee

APPENDIX 4: GUIDING PRINCIPLES OF THE AD HOC COMMITTEE ON ACADEMIC GOVERNANCE INCLUDING DELEGATED AUTHORITY

APPENDIX 5: LIST OF PAST GFC REVIEWS

APPENDIX 6: LIST OF CONSULTATIONS

APPENDIX 7: SOURCES



Principles for General Faculties Council Delegation of Authority

Introduction

Governance is understood as the process through which an organization defines and achieves its mandate, which includes making decisions with regard to the structures, policies, and practices of decision-making; the exercise of authority; and the mechanisms of accountability. General Faculties Council (GFC) has employed a structure that relies upon the delegation of its provincially-mandated authorities to its standing committees, individuals on campus and other campus bodies. Delegation is essential to ensure timely and efficient decision-making in smaller forums with access to appropriate resource people, while allowing GFC to focus on substantive and strategic issues of broad relevance to the university community. The following offers guidance to this delegation structure and helps maintain accountability, transparency, and collegiality in the academic governance system at the University of Alberta.

Retained Authority

General Faculties Council shall pursue major policy and strategic issues that include:

- significant strategic and policy issues related to the academic affairs of the university;
- any matter involving the alteration of the mandate, terms of reference, membership, or structure of a GFC standing committee; and
- those matters that a standing committee, body, or officer holding delegated authority from GFC considers to be of major strategic significance or long-term impact on the university.

Principles

1. Delegations of authority must be reasonable in scope and appropriate to the character and capacity of the body (e.g. council or committee) or officer receiving the delegated authority.
2. An officer or body acting with delegated authority is accountable to the body which delegated the authority and must report to that body in a timely and sufficiently detailed fashion on actions taken under the delegated authority.
3. An officer or body is responsible to be alert to situations where, for example, there is uncertainty as to whether an item falls within the intended delegation or the significance of an issue and the division of opinion on the issue suggest it is prudent to refer the issue or decision to the delegating body for consideration. When there is uncertainty as to whether an item falls within the intended delegated authority, or if there is clear division of opinion, the officer or body with delegated authority will refer the item to the body that delegated the authority along with a recommendation.
4. Delegations should be recorded in written form and curated in a transparent manner.

5. A body delegating authority may impose restrictions on that authority -- including restrictions on the authority to sub-delegate -- so long as the restrictions allow sufficient authority for the delegation to be meaningful.
6. All delegations of authority should be reviewed at regular intervals (ideally once every three years) to ensure they remain appropriate.
7. Withdrawal of delegated authority should be considered judiciously based on the best interest of the institution and cannot be done retroactively.
8. An officer or body is not compelled to exercise delegations. The fact that a delegation is held does not oblige the officer or body to exercise the delegation if, in the opinion of the delegate, some special or unusual circumstances are involved which make it sensible that the issue should receive consideration at a more senior level.

Approved by General Faculties Council: <insert date>



Principles for General Faculties Council Standing Committee Composition

Introduction

Governance at the University of Alberta relies upon a structure wherein the General Faculties Council has delegated many of its provincially-mandated authorities to its standing committees. As such, the composition of those standing committees is crucial to ensuring that decisions are made in an informed manner that takes into account the breadth of issues, perspectives and opinions on campus. The following principles provide a framework to create committee compositions which are reflective of the membership of GFC and appropriate to the role and mandate of those committees.

Principles

1. Wherever possible, the majority of elected members of each standing committee should be drawn from the membership of GFC to provide tangible links between GFC and its standing committees and increase engagement of the greater GFC community.
2. Wherever possible, the number of elected members of a standing committee should exceed the number of ex-officio members.
3. The voting status of ex-officio members of standing committees should be consistent with their voting status on GFC and should extend to their delegates.
4. Ex-officio members should be included in the membership of a standing committee only when their portfolio is directly relevant to the mandate and role of the standing committee.
5. Wherever possible, the Vice-Chair of a standing committee should be elected by the committee from its elected academic staff members and ideally be a member of GFC.
6. Standing Committees should be populated with a commitment to diversity and broad representation from across the university.
7. When cross-appointment of members on standing committees is appropriate, this should be outlined in the terms of reference of each committee and such members shall have voting status on both committees.

Approved by General Faculties Council: <insert date>



Roles and Responsibilities of Members

Introduction

General Faculties Council (GFC) is the principal academic decision-making body of the university. It is established in the Post-Secondary Learning Act (PSLA) and given authority, subject to the Board of Governors, over the academic affairs of the university.

For GFC to be successful in fulfilling its terms of reference and meeting its responsibilities to the university it depends on the active engagement of its members. GFC has delegated much of its authority for routine matters to standing committees allowing GFC to engage in high level strategic and stewardship policy issues. GFC members have the opportunity to serve on the standing committees that approve matters with the delegated authority from GFC.

GFC operates under the principle of collegial academic governance including:

- A commitment to inclusive and participatory governance decision-making
- A desire to facilitate meaningful individual-level engagement in governance processes
- A commitment to openness, transparency, and respectful communication
- A commitment to responsiveness, respect, and reciprocity between governing bodies and between governing bodies and university administration

Roles and Responsibilities of Members

1. Understand GFC

- 1.1 Members should understand that not all matters under GFC jurisdiction will come before that body for approval. Some decisions are made at the standing committee level as GFC has delegated authority to approve and report on actions taken on certain matters.
- 1.2 The university operates in a bicameral governance system. Members should understand the distinction between the role and responsibilities of GFC and the Board of Governors.

2. Meeting Attendance

- 2.1 Members have a responsibility to attend GFC meetings.
 - a. If a student misses two consecutive meetings, or more than three meetings in one academic year, the Students' Union or the Graduate Students' Association may request that the Chair declare the position vacant.
 - b. If a Faculty representative or a non-student member misses two consecutive meetings or more than three meetings in one academic year without a reason satisfactory to the members of the GFC Executive Committee, the Executive Committee shall declare the position vacant.
- 2.2 Members have a responsibility to serve on GFC committees as appropriate and attend committee meetings.
 - a. If an elected member is absent from three consecutive meetings or is frequently absent without a reason satisfactory to the remaining members of the committee, the Chair shall declare the position vacant.

2.3 Members should advise the GFC Secretary or committee coordinator if they are unable to attend a meeting.

3. Participate in GFC Business

3.1 Members should prepare for meetings by reviewing agenda materials in advance that, for open sessions, are publicly available at governance.ualberta.ca

3.2 Members should engage in candid and respectful discussion of matters which are brought before GFC and its various bodies

3.3 When voting on motions:

a. Members must act in good faith with the view to the best interests of the university as a whole. While members may be informed by matters raised by various constituencies, it is the duty of a member to ensure that all constituencies are fairly considered in the process of decision making.

b. When notified of an e-vote, members should vote in a timely manner in order to ensure that quorum requirements are met.

4. Manage Conflict of Interest and Act Ethically

4.1 Comply with the university's policies and procedures regarding both [ethical conduct](#) and [conflict of interest](#). Members must declare conflicts when they arise.

4.2 Maintain confidentiality of all information included in closed session meetings.

5. Ask Questions

5.1 Information requests may be made of the University Governance office, should members require more information than is provided with the meeting agenda.

5.2 If a member wishes to raise a question at GFC within the jurisdiction of the body, a question may be submitted in writing to the GFC Secretary up to six working days before the next GFC meeting to receive a written response.

5.3 Every GFC meeting has Question Period as a standing item wherein members may raise a question during the time set aside for this item. Procedures for Question Period are available at governance.ualberta.ca

5.4 If a member has a question with regard to an item on the agenda, it may be raised during consideration of that item at the GFC meeting.

5.5 If a member wishes to add an item to the agenda for debate, the member should contact the Chair or GFC Secretary for assistance.

6. Communicate Information to Constituents

6.1 Members should communicate with their Faculty or constituency regarding agenda items coming before GFC.

6.2 Members should communicate with their Faculty or constituency on matters which were discussed/approved at GFC in Open Session.

Approved at General Faculties Council <insert date>



Meeting Procedural Rules

Introduction

General Faculties Council (GFC) has on many occasions confirmed its commitment to having a set of rules that assist rather than impede the conduct of business. GFC rules are not meant to unduly restrict debate or limit opportunities for participation. Their purpose is to facilitate inclusive and respectful dialogue, while ensuring efficient decision-making. It is the responsibility of the Chair, with the support of GFC, to employ the rules governing general meetings in a manner consistent with these principles. Substantive motions should be handled with considerable formality, but whenever possible the Chair should deal with matters of procedure by general agreement.

The following rules and procedures are based on a number of fundamental principles that encourage participation and engagement of members. These principles include:

- A commitment to inclusive and participatory decision-making.
- A commitment to openness, transparency and respectful communication.

1. Procedural Rules

- 1.1 GFC and its standing committees are governed by the procedural rules set out below. For matters not covered by these rules, or by the Post Secondary Learning Act (PSLA) reference shall be made to the current edition of *Robert's Rules of Order*. If this does not provide clear direction regarding a point in question, then the Chair shall decide how to proceed. However, such rulings by the Chair may be overruled via a motion supported by a vote of the majority of those present.
- 1.2 The chairs of GFC and its standing committees will be responsible for guiding meetings of GFC and its standing committees, enforcing rules, and deciding questions pertaining to those rules. Any decisions of the chair are subject to challenge (see 10.3).
- 1.3 The Chair will not participate actively in debate regarding a motion before GFC without passing the role of the Chair to the Vice-Chair for the duration of the debate and the subsequent vote.

2. Meetings

- 2.1 GFC and its standing committees shall meet regularly during the academic year, the schedule of which will be published on the governance website at least one month before the beginning of each academic year. GFC meetings will not be scheduled during the period set aside for final examinations or Reading Week, however committee meetings may occur during this time.
- 2.2 Cancellation - GFC Executive Committee may cancel a meeting of GFC if it determines that the number and nature of the agenda items make it reasonable to defer consideration, and provided that notice of such cancellation is given to members at least one week prior to the date of the meeting. The Chair of a GFC standing committee may cancel a meeting if the agenda items make it reasonable to defer

consideration, and provided that notice of such cancellation is given to members as early as possible.

- 2.3 From time to time, the Chair of GFC may call special meetings of GFC, provided that notice of such meetings is given to members at least one month in advance.
- 2.4 GFC meetings shall normally be scheduled and planned to end two hours after being called to order.
- 2.5 Debate on new items of business will not be entertained after GFC has been sitting for three hours.
- 2.6 No audio or video recording of meetings shall be permitted unless by express authority of the Chair.

3. Open Sessions

- 3.1 Meetings of GFC and its standing committees are normally held in open session, with the exception of those dealing with nominations and adjudication which are always held in closed session.
- 3.2 Subject to the limitations of space and orderly conduct as determined by the chair, members of the university community and the general public may attend open meetings as observers. Observers may only speak if expressly invited to do so by the Chair.

4. Closed Sessions

- 4.1 From time to time, GFC or its committees may hold meetings or portions of meetings as closed meetings; at that point, proceedings will be confidential and all non-members, except those specifically invited, will be asked to withdraw.

5. Questions

- 5.1 If more information than is provided as part of the meeting agenda is required, information requests may be made of the University Governance office.
- 5.2 Questions on an issue within GFC's jurisdiction may be submitted in writing to the GFC Secretary up to six working days before the next GFC meeting to receive a written response.
- 5.3 Every GFC meeting has Question Period as a standing item wherein members may raise a question during the time set aside for this item (see 6.5). Procedures for Question Period are available at governance.ualberta.ca
- 5.4 Questions with regard to a specific item on an agenda may be raised during consideration of that item at the GFC meeting.

6. Agendas

- 6.1 The agenda of each GFC meeting will be proposed by the GFC Executive Committee and approved by GFC. The GFC Executive Committee will ensure that items put before GFC are complete and ready for discussion and published in advance of the meeting.

- 6.2 If GFC members want to have an issue debated, they are asked to submit the issue to the GFC Executive Committee. Whenever possible, members wishing to add items to the agenda should contact the Chair or GFC Secretary two weeks in advance of the GFC Executive Committee meeting to allow time for the item to be added to the agenda.
- 6.3 Should a member wish to add an item to the agenda at a meeting of GFC, a two-thirds vote of those present is required; the Chair will then determine where the item appears on the agenda. In cases where the Chair or GFC Secretary has been informed in advance of a planned request to add a new item, but after the agenda has been published, the proposal shall be circulated to members through the normal means.
- 6.4 When the Agenda is being approved, the Chair will entertain a request to change the order of items, for specified reasons.
- 6.5 Each agenda of GFC and its standing committees will include Question Period of one half hour in length that may be extended with the approval of members.
 - a. Question period is comprised of both written questions and, time permitting, questions from the floor.
 - b. The Chair will rule on whether a question from the floor can be answered expeditiously; if not, it will be referred to the appropriate officer for response at the next meeting.
- 6.6 Reports from standing committees are included on the GFC agenda for information only. Questions may be asked for clarification, but no debate may take place on such items.
- 6.7 Reports for Information may be moved to the discussion part of the agenda if a member gives two days notice to the GFC Secretary to ensure that an appropriate person is present to answer questions that may arise during discussion.
- 6.8 Agendas and materials for open session meetings are posted at governance.ualberta.ca

7. Quorum

- 7.1 General Faculties Council - The quorum for a GFC meeting is one-third of the total membership, except in the months of May through August when the quorum shall be one-quarter of the total membership.
- 7.2 GFC Standing Committees – The quorum for standing committee meetings is one-half of the voting members or, in the case where this is an even number, one-half plus 1 member.
- 7.3 Vacancies on committees are not included when establishing quorum.
- 7.4 Maintaining quorum - A duly-called meeting which starts with a quorum present shall be deemed to have a continuing quorum, notwithstanding the departure of voting members, unless the quorum is challenged by a voting member. In the event of a challenge, the remaining members may choose to adjourn or continue the meeting. In

the event of a decision to continue a meeting without quorum, the minutes shall record this fact and any decisions taken must be ratified at the next meeting.

8. Motions

- 8.1 Normally, all motions concerning substantive matters shall be published in the agenda materials.
- 8.2 All motions must be moved and seconded by members of GFC. Motions to appoint new members may only be moved and seconded by statutory members of GFC.
- 8.3 Motions pass with a majority vote, except for the following: (1) motions to add an item to the agenda require a two-thirds majority of those present; (2) motions to rescind a motion require a two-thirds majority of total members.
- 8.4 To make a motion, a member must be recognized by the Chair. (In the interest of clarity and to expedite business, it is advisable to provide a written motion to the GFC Secretary). The person making a motion will be invited by the Chair to speak first in any ensuing debate.
- 8.5 **Amendments to Motions** - A member may make a motion to amend the wording – and within certain limits the meaning – of a pending motion before the pending motion itself is voted upon. The amendment must be germane and cannot be used to introduce a new subject. An amendment is debatable.
- 8.6 **Motion to Adjourn** - A motion to adjourn is a motion to close the meeting. It must be seconded, is not debatable or amendable, and typically requires a simple majority vote. During the months of March and April, motions to adjourn require a two-thirds majority if substantive items of business remain on the agenda.
- 8.7 During the course of a GFC meeting, members may make a Notice of Motion for debate at the next GFC meeting. In such cases GFC Executive will be responsible for placement of the motion on the next GFC agenda.

9. Motions for Specific Purposes

- 9.1 **Motion to Table** – Enables the pending question to be laid aside until some future time. The motion cannot be debated. The mover may make a statement regarding what information they believe would be required to remove the item from the table, and the proposer of the item may make a brief comment on the impact of tabling the motion.
- 9.2 **Motion to Take From the Table** – Brings the motion back before GFC and cannot be debated.
- 9.3 **Motion to Reconsider** an item which was voted upon at the current or the last meeting. If passed, proceedings are restored to the point immediately prior to the vote to which it applies.
- 9.4 **Motion to Rescind a Motion** is only used when a Motion to Reconsider is out of time. Motions to Rescind require support of two-thirds of the total membership if no Notice of Motion was given, but only a simple majority if Notice was given.

10. Debate

- 10.1 Normally, a member may not speak for a second time until the Chair is satisfied that all members wishing to speak for their first time have done so.
- 10.2 A member who has the floor may not normally be interrupted. However, the Chair may interrupt a speaker if the speaker is out of order by using unacceptable language, is abusive of other members, or is not speaking to the motion. If the Chair does not do so, a member may raise this as a point of order.
- 10.3 **Point of Order** - It is the right of any member who notices a breach of the rules of Council to insist on their enforcement. If the Chair fails to notice such a breach, any member may make the appropriate Point of Order, calling on the Chair for a ruling. A Point of Order does not require a seconder, it is not debatable or amendable, and cannot be reconsidered.
- 10.4 **Calling the Question** - Upon hearing a member call the question, the Chair will ask members if they are ready to vote on the motion being discussed. If there appears to be opposition to closing the debate, the Chair may ask for a motion to close debate. If seconded, members will then vote on this motion and proceed accordingly.

11. Debates without Motions

- 11.1 When discussion of an issue and the formal rules pertaining to making motions, debate, and voting seem to be a hindrance to thoughtful discussion, the GFC agenda can allow for a less structured discussion guided by the Chair and the consensus of the members in attendance.

12. Attendance

- 12.1 Delegates – members who serve on GFC or its standing committees by virtue of their office may send a delegate; such delegates shall act with all the rights of membership. There shall be no alternates for other members.
- 12.2 GFC attendance - If a student misses two consecutive meetings or more than three meetings, the Students' Union or the Graduate Students' Association may request that the Chair declare the position vacant. If a faculty representative or a non-student appointed member misses two consecutive meetings or more than three meetings in one academic year without a reason satisfactory to the members of the GFC Executive Committee, the Executive Committee may declare the position vacant.
- 12.3 Standing committee attendance - If an elected member is absent from three consecutive meetings or is frequently absent without a reason satisfactory to the remaining members of the Committee, the Chair shall declare the position vacant.

13. Voting

- 13.1 All members of GFC are charged with the responsibility of examining issues before Council and voting as they judge fit on such issues. No member of GFC, regardless of how that person gains membership on Council, is an instructed delegate.
- 13.2 Motions shall normally be adopted on a simple majority of members present except to add items to the agenda which requires a two-thirds majority of those present, or for a Motion to Rescind which requires a two-thirds majority vote of total membership.

- 13.3 An abstention is not considered to be a vote cast.
- 13.4 The Chair votes only in the instance of a tie. When there is a tie vote, the motion is lost if the Chair abstains.
- 13.5 All members may participate in discussions; only voting members may move, second and vote on motions.
- 13.6 Electronic Votes by Committees – In cases where extensive deliberation is not essential to determining a course of action and it is necessary for a business item to be decided before the next scheduled meeting, the Chair and Secretary of a GFC standing committee may hold an electronic vote. The motion will be duly moved and seconded and all normal procedures will be followed in conducting the e-mail ballot. However, upon receiving the item of business and ballot, any committee member may request that the matter be debated at the next meeting or at a special meeting and the vote delayed until after that debate, with the Chair determining the appropriate course of action.
- 13.7 Electronic Votes by GFC – In cases where GFC is the electing body to populate certain selection committees and other bodies, the election process may use e-vote mechanisms.
- 13.8 Electronic Approval of Committee Reports by GFC – Reports from the Nominating and Replenishment Committees may be distributed electronically to GFC members and are considered approved by the deadlines indicated on the report subject to receipt of additional nominations.

14. Records of Proceedings

- 14.1 Official Record – The official record of meetings of GFC shall be the minutes taken by the Secretary and approved by GFC.
- 14.2 Minutes – The minutes shall reflect the decisions made and reasons for the decision.

15. Amendment of these Rules and Procedures

Rules and procedures governing meetings of General Faculties Council may be amended by a majority vote of those present and voting at a duly constituted meeting of GFC, provided that notice of the proposed amendment has been given and that a quorum is present at the time the vote is taken. Rules are reviewed every three years.

16. Links

GFC terms of reference
Question period procedures

Approved by General Faculties Council: [date]



1. Mandate and Role of the Committee – The XXXX Committee (xxxx) is a standing committee of GFC charged with

2. Areas of Responsibility

- a.
- b.

3. Composition

Voting Members (#)

***Ex-officio* (#)**

Indicate who is chair in brackets beside listing in membership

***Appointed* (#)**

***Cross Appointed* (#)**

NOTE: # <<type>> member(s) of XXX Committee to be cross appointed to YYY Committee

***Elected by GFC* (#)**

Vice Chair– ideally will be elected by the committee to serve as Vice Chair

Non-voting Members

4. Delegated Authority from General Faculties Council

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

4.1

5. Responsibilities Additional to Delegated Authority

5.1

6. Sub-delegations from XXXX Committee

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

6.1

7. Limitations to Authority

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

7.1

8. Reporting to GFC

The Committee should regulary report to GFC with respect to its activities and decisions.

9. Definitions

10. Links

Approved by General Faculties Council: [date]



1. Mandate and Role of the Committee

General Faculties Council (GFC) is the University's senior academic governing body defined in the *Post-Secondary Learning Act (PSLA)*. GFC is responsible for the **academic affairs** of the University, subject to the authority of the Board of Governors.

Members of GFC – including elected faculty and students, administrative leaders, and representatives of other constituencies – form one of two governing bodies that comprise the university's bicameral system of governance. The other governing body is the Board of Governors, which has primary responsibility for the business affairs of the institution. The proper functioning of the Board and GFC are essential to the university's institutional autonomy and the processes of collegial academic governance.

2. Areas of Responsibility

General Faculties Council (GFC) operates by authority of the Post-Secondary Learning Act (PSLA). The PSLA allows GFC to delegate its responsibilities to GFC standing committees and other persons.

GFC has delegated authority on many matters to GFC standing committees, faculty councils, officials of the University, and other bodies (see Section 6), thus allowing it to focus on high level strategic items of academic significance which include, but are not limited to:

- high level strategic and academic stewardship policy issues or matters of significant academic consequence to the University;
- alterations to the mandate, terms of reference, composition, or structure of a Standing Committee;
- those things which a Standing Committee considers to be of major strategic significance to or long-term impact on the University;
- those matters on which, in the opinion of a Standing Committee chair, there has been a strong division of opinion within the Standing Committee; and
- issues in which there is a lack of clarity as to which Standing Committee is responsible.

3. Composition

Voting Members (158)

Ex-officio (27) – PSLA, Sec 23(a)

- President, Chair
- Vice-Presidents (6)
- Dean of each Faculty (18)
- Vice-Provost and Chief Librarian
- Vice-Provost and University Registrar

Statutory Student Members (3) – PSLA, Sec 23(c)

- 2 students nominated by the Students' Union
- 1 student nominated by the Graduate Students' Association

Elected members (54) – PSLA, Sec 23(b)

- full-time academic staff (A1.1 and A1.6) elected by Faculty/School Council in the numbers assigned by GFC

Appointed (20) in addition to statutory members – PSLA, Sec 23 (d)

- Vice-Provost and Dean of Students
- President of AASUA
- 1 representative from St. Joseph's College
- 1 representative from Chairs' Council
- Board of Governors Representatives (6)
 - 1 academic staff member, nominated to the Board by GFC
 - 1 academic staff member, nominated to the Board by AASUA
 - 2 undergraduate students, nominated to the Board by the Students' Union
 - 1 graduate student, nominated to the Board by the Graduate Students' Association
 - 1 non-academic staff, nominated to the Board by NASA
- 3 non-academic staff; two nominees provided by NASA
- 2 APOs/FSOs elected from the APO and FSO groups, election shall be run by AASUA
- 2 sessional and other temporary academic staff elected from the sessional groups, election shall be run by AASUA
- 3 library academic staff elected by the academic staff of the University Library

Appointed (54) students in addition to statutory members – PSLA, Sec 23 (d)

- undergraduate student members – apportioned on a Faculty basis with at least one student per Faculty, elected in accordance with the principles approved by GFC February 3, 1971 (40)
- graduate student members – apportioned on a Faculty basis with at least one student per Faculty, elected in accordance with the principles approved by GFC February 3, 1971 (14)

Reapportionment of elected faculty and student members takes place every three years.

Non-voting Members

- University Secretary
- GFC Secretary

4. Delegated Authority from the Board of Governors

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

4.1 Physical Testing and Immunization of Students - individual Faculty regulations (sub-delegated to GFC Academic Standards Committee)

4.2 FDC ToR , later subdelegated (to be added)

5. Responsibilities Additional to Delegated Authority

From ARPC – Budget Matters

On February 12, 1996, General Faculties Council agreed that:

- a. An information session on the proposed budget take place at GFC each year just prior to being introduced to the [ARPC] and Board approval process; and
- b. Information, however 'soft,' be provided to GFC at its first meeting in September.

6. Delegations from General Faculties Council

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

- 6.1 The PSLA allows GFC to delegate its responsibilities to GFC standing committees and other persons. Specific delegations from GFC are outlined in the following:
- a. GFC standing committees
 - b. Faculty Councils
 - c. Other Bodies
 - i. Appeal bodies
 - d. Officials
- 6.2 Reapportionment
- a. The PSLA allows for the reapportionment of GFC and the delegation is outlined as follows:
 - i. The GFC Secretary is responsible for the reapportionment of GFC. The total number of elected members on GFC will be twice the number of persons who are members of GFC by virtue of their office
 - ii. The GFC Secretary will determine and assign to each Faculty and School the number of members that may be elected by that Faculty or School, which so far as is reasonably possible shall be in the same proportion to the total number of elected members as the number of full time members of the academic staff of the Faculty or School is to the total number of full time members of the academic staff of all Faculties and Schools.
- 6.3 Appointment of Members
- a. The PSLA allows for the election of academic staff members for three years. Elected individuals may serve more than one term. Faculties may elect members to serve one- or two-year terms in order to provide overlapping terms. Persons on leave normally do not serve. (PSLA 24(3), 24(4) and 24(5))
 - b. The PSLA allows for each Faculty Council to elect from the full time academic staff the number of members to GFC that has been assigned to each Faculty.

7. Limitations to Authority

GFC is subject to the authority of the Board of Governors

8. Reporting

GFC reports regularly to the Board of Governors with respect to its activities and decisions through the GFC nominee to the Board of Governors.

9. Definitions

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

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

AASUA – [Association of Academic Staff University of Alberta](#)

NASA – [Non-Academic Staff Association](#)

10. Links

[Post-Secondary Learning Act \(2003\)](#)

Approved by General Faculties Council: [date]



1. Mandate and Role of the Committee

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

2. Areas of Responsibility

- a. Act on behalf of General Faculties Council as defined in section 4.1 below
- b. Preparation of agendas for GFC
- c. Faculty Councils – membership, quorum, control function, sub-delegations
- d. Student Judiciary matters
- e. Academic procedural matters
 - approval of the academic schedule, publication of the University Calendar, and resolutions of unresolved new course challenges
- f. Academic Awards
- g. Governance rules and procedures oversight

3. Composition

Voting Members (14)

Ex-officio (5)

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

Elected from and by GFC (9)

- 8 academic staff (A1.1, 1.5, 1.6, 1.7) – with a maximum of two members from any Faculty, one of which will be elected by the committee to serve as Vice-Chair.
- 1 undergraduate student

NOTE: One academic staff member of the GFC Executive Committee will be elected by the Committee for cross appointment to the GFC Academic and Research Planning Committee (ARPC).

Non-Voting Members

- University Secretary
- GFC Secretary

4. Delegated Authority from General Faculties Council

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

- 4.1 Act on behalf of General Faculties Council on matters that must be decided before the next regularly scheduled GFC meeting and where it is not feasible to call a special meeting of GFC. The committee will first determine if the matter cannot wait and, if so determined, will proceed to consider it and act on behalf of GFC and report on the decision at the next GFC meeting.

- 4.2 Prepare the agenda for all regular and special meetings of General Faculties Council, ensuring items are ready to be presented to GFC and are ordered and timed appropriately. The committee will receive items from the Academic Planning Committee for placement on the GFC agenda. The committee will receive items from:
- a. The Academic and Research Planning Committee (ARPC) for placement on the GFC agenda
 - b. GFC Standing Committees
 - c. GFC members as per the outline procedures [link procedures]
 - d. Members of the University Administration

The committee may choose to provide comments to GFC on any agenda items.

- 4.3 Faculty Councils
- a. Approve recommended appointments to Faculty Councils
 - b. Exercise supervision of control functions regarding Faculty Councils (section 29 and 30 of PSLA), with recommendations to GFC when appropriate
 - c. Approve quorum provisions established by Faculty Councils
- 4.4 Student Judiciary Matters
- a. Consider changes to Code of Student Behaviour, Code of Applicant Behaviour, Practicum Intervention Policy for approval or placement on GFC agenda
 - b. Receive annual report on student discipline cases to be placed on the GFC agenda for information
 - c. Receive annual report on Residence Discipline Statistics to be placed on the GFC agenda for information
- 4.5 Academic Procedures
- a. Approve the Academic Schedule
 - b. Provide advice to the University Registrar regarding the preparation and publication of the University Calendar (technical matters sub-delegated)
 - c. Make final decisions on course challenges that cannot be resolved through other means
 - d. Approve changes to wording on Parchments
- 4.6 Academic Awards
- a. Make rules and regulations respecting academic awards for undergraduate students
- 4.7 Governance Procedural Oversight
- a. Make recommendations to GFC regarding terms of reference, composition, and procedures for GFC and its standing committees

5. Responsibilities Additional to Delegated Authority

- 5.1 Examine and debate items proposed for the GFC agenda, except for items from ARCP which are not debated

6. Sub-delegations from GFC Executive Committee

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

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

- 6.1 Special arrangements regarding final examinations (sub-delegated to Faculty Councils subject to challenge by GFC)

6.2 Technical matters relating to the publication of the University Calendar (sub-delegated to the Registrar)

7. Limitations to Authority

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

7.1 Decisions made on behalf of GFC under section 4.1 must be reported at the next GFC meeting.

7.2 Reports and recommendations from the GFC Academic and Research Planning Committee (ARPC) submitted for placement on the GFC agenda are not debated

8. Reporting to GFC

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

9. Definitions

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

10. Related Links

Academic Schedule Policy
Academic Schedule Procedure

Assessment and Grading Policy
Access to Evaluative Course Material Procedure
Consolidated Exams Procedure
Grading Procedure
Grading Procedure Appendix

Awards and Bursaries for Students Policy
Awards for Undergraduate Students Procedure
Bursaries for Students Procedure
Creation of New Awards and Bursaries for Undergraduate Students Procedure
University Medal Requirements Procedure

Degrees Policy
Convocation Procedure
Degrees Procedure
Parchment Procedure
Posthumous Degrees Procedure

Approved by General Faculties Council: [date]



1. Mandate and Role of the Committee

The GFC Academic and Research Planning Committee (APRC) is a standing committee of GFC charged with academic and research planning issues. The Committee may be called upon to consider or recommend to GFC on any academic or research issue within its mandate. The President, Provost and Vice-President (Academic), Vice-President (Research), or other Vice-Presidents may refer any academic or research related matter to APC for consideration or recommendation to GFC.

2. Areas of Responsibility

- a. Academic programs
- b. Research and research policy, including research ethics
- c. Quality assurance
- d. Re-structuring of academic and research units
- e. Budget principles, fees, and the annual budget submission
- f. Enrolment oversight
- g. Academic and research input on facilities planning issues
- h. Academic service units that have significant academic impact
- i. Internationalization policies and initiatives
- j. Admissions, transfers, and academic standing regulations beyond ASC mandate

3. Composition

Voting Members (18)

Ex-officio (5)

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

Elected by GFC (11)

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

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

Appointed (1)

- ~~One Dean~~ (move to elected position)
- 1 Department Chair-at-large, appointed by Chairs' Council

Cross Appointed (1)

- 1 academic staff member of the GFC Executive Committee, elected by the GFC Executive Committee

Non-voting Members

- University Secretary
- GFC Secretary

4. Delegated Authority from General Faculties Council

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

4.1 Academic Programs

- a. To approve the Establishment of Academic Programs including those administered in cooperation with other post-secondary institutions
- b. To approve the Suspension of Academic Programs (from ASC ToR)
- c. To approve the Extension and/or Substantive Revision of Existing Programs (eg, new degree designation, new curriculum)
- d. To approve the Establishment/Termination of diploma programs (including admission/transfer, academic standing) offered by Centre collegial de l'Alberta de l'University of Alberta (CCA) MOVED TO ASC
- e. To approve certificates from all Faculties, and new non-credit programs and program expansions in the Faculty of Extension, as recommended by ASC, where additional funding and/or space is required.

4.2 Research

- a. To establish or terminate endowed and funded chairs
- b. Academic Centres and Institutes
 - Approve the establishment of academic centres and institutes in accordance with University policy and procedure as set out in the University of Alberta Policies and Procedures Online (UAPPOL).
 - Receive notification of the suspension or termination of academic centres and institutes from the Provost and Vice-President (Academic)
- c. Research Policy
 - Review and recommend to GFC on research policy issues and proposals emanating from the Vice-President (Research), the University Research Policy Committee (URPC), or other sources.
- d. Research Ethics
 - Animal and human ethics policy
- e. Copyright and intellectual property
- f. Postdoctoral fellows policy

4.3 Quality Assurance

[to be developed]

4.4 Restructuring of Academic Units

- a. To approve name changes to Departments, Divisions, and *Schools*, and recommend to GFC on name changes of Faculties
- b. To receive and discuss recommendations from the President or the appropriate Vice-President concerning reviews of campus units and to take appropriate action.

4.5 Budget

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

- b. To recommend to the Board of Governors any new fee that will be levied upon a substantial group of students, after seeking the recommendation of GFC. (~~A substantial group of students is defined as any one (or more) of the following three classes of students: (a) undergraduate students, (b) doctoral level students, and/or (c) graduate students pursuing studies other than those at doctoral level.~~) MOVED TO 9. DEFINITIONS

4.6 Enrolment Planning

- a. To review enrolment reports on an annual basis.

4.7 Facilities

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

4.8 International

[to be developed]

5. Responsibilities Additional to Delegated Authority

- 5.1 To recommend to GFC on the Termination of Academic Programs including those administered in cooperation with other post-secondary institutions
- 5.2 To recommend to GFC on the establishment of or change to general University admission or transfer policies affecting students, including policies affecting Open Studies students, as recommended by ASC.
- 5.3 Recommend to GFC on proposals involving major or substantial changes to admission and transfer regulations or to academic standing regulations.
- 5.4 To recommend to GFC on enrolment management processes

6. Sub-delegations from Academic Planning Committee

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

6.1 Programs – Graduate Degree Specializations

All proposals for establishment of graduate degree specializations shall be submitted to the Dean of the Faculty of Graduate Studies and Research. The Dean, after consultation, may approve proposals which do not involve base operating or capital funds; the Dean will report these approvals to APC. Proposals which constitute new programs and/or which do involve base operating or capital funds will be considered and decided upon by APC.

7. Limitations to Authority

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

7.1 Academic Programs

- a. The Provost and Vice-President (Academic) may forward proposals for Revisions to Existing Undergraduate and Graduate Programs to GFC with a recommendation from ARPC.
- b. Recommend to the Board of Governors on program proposals with a new credential.

7.4 Restructuring

- a. Recommend to GFC on the establishment and termination of Faculties, Departments, Schools and divisions, and on mergers involving Faculties, Departments, Schools or divisions, subject to Article 32 of the Faculty Agreement. (Divisions are defined as academic units with authority over student programs. They may be budgetary units and may or may not be part of an existing Department).

7.6 Admission, Transfer and Academic Standing

- a. Recommend to GFC on proposals involving major or substantial changes to admission and transfer regulations or to academic standing regulations.

8. Reporting to GFC

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

The committee should report annually to GFC on programs approved.

9. Definitions

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

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

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

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

10. Links

Centres and Institutes Policies
Section 37
Admission policy
Academic standing policy

Approved by General Faculties Council: [date]



1. Mandate and Role of the Committee

The Academic Standards Committee (ASC) is a standing committee of General Faculties Council (GFC) charged with oversight on matters related to admissions and transfer, academic standing, and certificates.

The committee may be called upon to provide advice to the Provost and Vice-President (Academic) on items which may include academic advisement, official University academic records-keeping, discipline, student services, publication of the University Calendar, the continuation of, or major changes to, existing affiliation agreements and proposals for new affiliation agreements between other postsecondary institutions and the University of Alberta, and registration.

2. Areas of Responsibility

- a. Admission/Transfer and Academic Standing Regulations
- b. Transfer
- c. Examinations
- d. Physical Testing and Immunization of Students
- e. Certificates
- f. Faculty of Extension Non-Credit Courses and Programs
- g. Course renumbering, new course designators
- h. Centre collégial de l'Alberta de l'University of Alberta (CCA)

All proposals for consideration of the Committee are first submitted to the Provost and Vice-President (Academic) who will consult as necessary with the Faculties and other individuals and offices in its consideration of these proposals.

3. Composition

Voting Members (26)

Ex-officio (22)

- Provost and Vice-President (Academic), Chair
- Dean of each Faculty or School (18)
- Vice-Provost and University Registrar
- Vice-President (Academic), Students' Union
- Vice-President (Academic), Graduate Students' Association

Elected by and from GFC (4)

- 3 academic staff-at-large-(A1.1, 1.5, 1.6, 1.7) (increased from one)
- 1 undergraduate student-at-large

Vice-Chair, academic staff member elected by the committee.

NOTE: One ex-officio academic staff member of the GFC Academic Standards Committee will be cross appointed to the GFC Undergraduate Awards and Scholarships Committee, as appointed by the Chair of the Academic Standards Committee

NOTE: One ex-officio academic staff member of the GFC Academic Standards Committee will be cross appointed to the GFC Campus Law Review Committee, as appointed by the Chair of the GFC Academic Standards Committee

Non-voting Members

- Associate Dean of Students
- Director of the Student Ombuds (*moved from voting to non-voting*)
- Associate Registrar
- University Secretary
- GFC Secretary
- University Advisor — International Educational Experiences

4. Delegated Authority from General Faculties Council

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

4.1 Admission /Transfer and Academic Standing Regulations

- a. Approve routine and/or editorial changes to admission/transfer and academic standing regulations
- b. Approve changes to International Baccalaureate (IB) and Advanced Placement (AP) ~~policies and procedures~~ regulations

4.2 Transfer

- a. Approve (for inclusion in the Alberta Transfer Guide) and deny courses for transfer credit to the University of Alberta which are offered by Alberta Council on Admissions and Transfer (ACAT) member institutions and institutions within the Alberta Postsecondary Six-Sector Model with specific exceptions outlined in the [Transfer Credit Articulation Procedure](#).
- b. Monitor, and rescind if necessary, entries in the Alberta Transfer Guide relevant to the University of Alberta

4.3 Examinations

- a. Approve proposals from Faculties to schedule Consolidated Exams (From Exec)
- b. Approve changes to examination regulations
- c. Approve changes to missed term work regulations

4.4 Physical Testing and Immunization of Students

- a. Approve individual Faculty regulations concerning physical testing and immunization of students (and files a report with the GFC Executive Committee for information).

4.5 Certificates

- a. Approve the establishment of and termination of credit and non-credit certificates subject to limitations (see below 7.5a).

4.6 Faculty of Extension Non-Credit Courses and Programs

- a. approve new non-credit programs and program expansions in the Faculty of Extension subject to resource limitations (see below 7.6).
- b. decide on any challenge made to an Extension non-credit courses which the Provost and Vice-President (Academic) has been unable to resolve.

**4.7 Course renumbering, new course designators
[to be developed]****4.8 Centre collégial de l'Alberta de l'University of Alberta (CCA)**

- a. To approve the Establishment/Termination of college level programs (including admission/transfer, academic standing) offered by Centre collégial de l'Alberta de l'University of Alberta and report approvals to ARPC (MOVED FROM APC)

5. Responsibilities Additional to Delegated Authority

- 5.1 Examinations - Monitor the implementation of the consolidated examination policy (in consultation with the Office of the Provost and Vice-President (Academic) and the Office of the Registrar)
- 5.2 Calendar – Provide advice to Executive Committee on the preparation and publication of the University Calendar.
- 5.3 Program proposals – review program proposals and provide recommendations to ARPC as appropriate

6. Sub-delegations from the GFC Academic Standards Committee

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

None.

7. Limitations to Authority

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

- 7.1 Admission/Transfer and Academic Standing Regulations
- Substantial changes are recommended to ARPC
 - General University admission or transfer policies affecting students, including policies which affect Open Studies are recommended to ARPC
 - Admission/Transfer and Academic Standing Regulations that form part of a new program proposal are recommended to ARPC
 - Program suspensions are recommended to ARPC for approval.
- 7.2 Transfer
- ASC does not consider course transfers for the excepted institutions indicated in the [Transfer Credit Articulation Procedure](#)
- 7.5 Certificates
- Where additional funding and/or space is required to support the offering of the proposed certificate and/or if, in the opinion of the Provost and Vice-President (Academic) (or delegate), the certificate requires Government approval, ASC would provide a recommendation on the (proposed) initiative to the GFC Academic and Research Planning Committee (ARPC).
- 7.6 Faculty of Extension Non-credit Programs
- Where additional funding and/or space is required, ASC would provide a recommendation on the proposed program to the GFC Academic and Research Planning Committee (ARPC)

8. Reporting

- 8.4 Physical Testing and Immunization of Students
- Report on approved changes to individual Faculty regulations concerning physical testing and immunization of students to the GFC Executive Committee for information.

8.3 Monitor the implementation of the consolidated examination policy (in consultation with the Office of the Provost and Vice-President (Academic) and the Office of the Registrar)

8.5 Report annually to GFC ARPC and GFC on programs approved

9. Definitions

Routine and/or Editorial - refers to proposals which do not involve or affect other Faculties or units; do not form part of a proposal for a new program; and which do not involve alteration of an existing quota or establishment of a new quota. Editorial or routine changes include any and all changes to the wording of an admissions or academic standing policy.

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

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

Regulation – [to be developed]

Embedded Certificate - [to be developed]

Free-standing Credit Certificate - [to be developed]

Free-standing Non-Credit Certificate – [to be developed]

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

10. Links

Admissions Policy

Transfer Credit Articulation Procedure

Undergraduate Admissions Procedure

Academic Standing Policy

Academic Standing Regulations Procedure

Assessment and Grading Policy

Access to Evaluative Course Material Procedure

Consolidated Exams Procedure

Grading Procedure

Grading Procedure Appendix

Certificate Handbook

Consolidated Examination Policy

Approved by General Faculties Council: [date]



1. Mandate and Role of the Committee

The Nominating Committee (NC) is a standing committee of GFC responsible for recommending individuals to serve on GFC standing committees and other bodies requiring representation from GFC or the University community. In putting forward its recommendations, the Committee will ensure the best possible match between prospective members and the committees to which they are nominated, and ensure the broadest possible base of representation and diversity given the available pool of nominees.

2. Areas of Responsibility

- a. Review and recommend to GFC the replenishment of GFC standing committees and other bodies requiring representation from the university community.
- b. Appoint the Chair and Vice Chair of the GFC Campus Law Review Committee (CLRC)
- c. **The Chair** may be called upon to provide input/feedback on other bodies seeking representation from the university community including, but not limited to, Selection/Review Committees (Vice-Presidents and Deans) major award selection committees.

3. Composition

Voting Members (12)

Ex-officio (2)

- Vice-President (Academic), Graduate Students' Association
- Vice-President (Academic), Students' Union

Elected by GFC (10)

- 7 academic staff (A1.1, A1.5, A1.6, A1.7), at least 5 who are current members of GFC and up to 2 recent former GFC members. *One member, ideally a member of GFC, will be elected by the committee to serve as Chair. One member, ideally a member of GFC, will be elected by the committee to serve as Vice-Chair.*
- 1 Dean
- 1 non-academic staff (S1.0) from GFC
- 1 undergraduate student from GFC

Non-voting Members

- University Secretary
- GFC Secretary
- Appeals Coordinator as defined in the Code of Student Behaviour, Code of Applicant Behaviour and the Practicum Intervention Policy

4. Delegated Authority from General Faculties Council

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

4.1 Discretionary power to nominate for terms of less than three years, should such be needed, to provide an overlap of experience in committees of GFC. This discretionary power may be exercised at the request of the committee involved. Terms of one or two years will be submitted by the Nominating Committee in the same manner as for three-year terms.

4.2 Appoint the Chair and Vice-Chair of the GFC Campus Law Review Committee (CLRC). (from Exec)

5. Responsibilities Additional to Delegated Authority

5.1 Review and recommend to GFC the replenishment of GFC standing committees and other bodies requiring representation from the university community.

5.2 Develop and support engagement and communication strategies to encourage individuals to serve on GFC, GFC standing committees and/or other governance bodies.

5.3 Duties of the Nominating Committee Chair

- a. The Chair may be called upon to provide input/feedback on other bodies seeking representation from the university community including, but not limited to, Selection/Review Committees (Vice-Presidents and Deans), major award selection committees
- b. The Chair of CLE, in consultation with the Chair of Nominating, will appoint a major teaching award recipient to CLE

6. Sub-delegations from Nominating Committee

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

None.

7. Limitations to Authority

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

7.1 *The recommended nominees for the replenishment of NC shall be under the responsibility of the Replenishment Committee*

7.2 The committee provides a report of its recommendations to GFC who will then have the opportunity to add further eligible nominees. If further eligible nominations are received, an election may be held according to the Nominating Committee procedures which can be found at: governance.ualberta.ca; otherwise, the report of the committee is considered approved and the nominees elected.

8. Reporting to GFC

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

9. Definitions

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

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

10. Links

NC procedures/guidelines governance.ualberta.ca
UAPPOL (Recruitment Policy, Major Teaching Awards)

Approved by General Faculties Council: [date]



1. Mandate and Role of the Committee

The GFC Facilities Development Committee (FDC) is a standing committee of GFC with delegated authority to make recommendations on behalf of GFC to the Board of Governors on “matters of academic import prior to providing for (a) the support and maintenance of the university, (b) the betterment of existing buildings, (c) the construction of any new buildings the board considers necessary to the purposes of the university” (PLSA section 19).

The ~~President, Chair~~, the Provost and Vice-President (Academic) ~~or~~ and the Vice-President (Facilities and Operations) may refer matters to FDC for consideration or advice.

2. Areas of Responsibility

- a. Recommendation of policy on planning and facilities
- b. Approve General Space Programs for Academic Units
- c. Approve design and use of all new facilities and the repurposing of existing facilities
- c. Other matters within the purview of the committee

3. Composition

Voting Members (13)

Ex Officio (5)

- Provost and Vice-President (Academic), Chair
- Vice-President (Facilities and Operations)
- Vice-President (Academic), Students' Union
- Vice-President (Academic), Graduate Students' Association
- Vice-Provost and University Registrar (moved from non-voting as per composition principles)

Elected by GFC (7)

- 5 academic staff (A1.0) who are members of GFC (with no more than one representative from any Faculty) – *one of whom will be elected by the Committee to Serve as Vice-Chair.*
- 1 support staff non-academic staff at-large (S1.0, S2.0)
- 1 undergraduate student member of GFC

Cross Appointed (1)

- 1 academic staff member of the GFC Academic and Research Planning Committee (ARPC), selected by the Chair of elected by ARPC

Non-voting Members

- Director of Engineering Infrastructure
- University Architect
- Associate Vice-President (Facilities and Operations)
- University Secretary
- GFC Secretary

4. Delegated Authority from General Faculties Council and/or the Board of Governors

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

- 4.1 Notwithstanding anything to the contrary in the Terms of Reference above, the Board of Governors and General Faculties Council have delegated to FDC the following powers and authority:
- a. Facilities
 - i. To approve proposed General Space Programs for academic units
 - ii. (a) To approve proposals concerning the design and use of all new facilities and the repurposing of existing facilities and to routinely report these decisions for information to the Board of Governors.
(b) In considering such proposals, FDC may provide advice, upon request, to the Provost and Vice-President (Academic), Vice-President (Facilities and Operations), and/or the University Architect on the siting of such facilities.

5. Responsibilities Additional to delegated Authority

FDC is responsible for making recommendations to ARPC ~~or the Board of Governors~~ concerning policy matters with respect to the following:

- 5.1 Planning
 - a. Comprehensive facilities development plan

- 5.2 Facilities
 - a. Planning and use of physical facilities, including parking facilities and transportation.
 - b. Use of land owned or leased by the University.
 - c. Standards, systems and procedures for planning and designing physical facilities.

- 5.3 Other
 - a. Consider any other matter deemed by FDC to be within the purview of its general responsibility.
 - b. The Chair of FDC will bring forward items where the Office of the Provost and Vice-President (Academic) and/or the Office of the Vice-President (Facilities and Operations), in consultation with other units or officers of the University, is seeking advice of the Committee.
 - c. ~~In light of the academic priorities set by General Faculties Council, to initiate studies, and respond to requests for studies, opinion, and information within the purview of its general responsibilities and make reports and recommendations to the appropriate office or committee. (GFC 29 SEP 2003) To initiate studies and make reports and recommendations on matters within the purview of FDC~~

6. Sub-Delegations from GFC Facilities Development Committee

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

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

- 6.1 To establish ~~such~~ subcommittees, and to delegate to such subcommittees or to the Vice-President (Facilities and Operations) such of its powers, duties and functions, or any part thereof, including the power of sub-delegation and subject to such conditions as it deems necessary.

7. Limitations to Authority

The following further refines or places limitations on authorities held by or delegated to FDC:
None.

8. Reporting to GFC

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

9. Definitions

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

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

10. Links

[Long Range Development Plan \(LRDP\)](#)

[Sector Plans](#)

[Current Construction Projects](#)

Approved by General Faculties Council: [date]

DRAFT



1. Mandate and Role of the Committee

The Campus Law Review Committee (CLRC) is a standing committee of General Faculties Council charged with providing oversight to the university's student discipline codes. The committee reviews and recommends on new codes and policies and procedures related to discipline. CLRC may be called upon to provide advice to the Provost and Vice-President (Academic) on items which may include, but are not limited to, rules and regulations other than discipline codes.

2. Areas of Responsibility

- a. Review ~~from time to time~~ and recommend changes to General Faculties Council for approval:
 - the Code of Student Behaviour and student discipline procedures
 - the Code of Applicant Behaviour
 - the Practicum Intervention Policy
 - the Residence Community Standards Policy
- ~~b. the community standards of the University student residence associations, with a full review of Residence Community Standards to be considered every three years (beginning in 2005).~~
- ~~b. Recommend new student residence codes to GFC Executive Committee for approval~~
- ~~c. Recommend major changes to existing student residence codes to GFC Executive Committee for approval~~
- ~~d. Discuss annual residence discipline reports statistics for each residence with a code or similar rules and forward reports to GFC for information.~~
- e. Discuss annual statistical reports on discipline cases dealt with by Faculties, the Discipline Officer, the Registrar, Unit Directors, the University Appeal Board (UAB), GFC Academic Appeals Committee (AAC) and the GFC Practice Review Board (PRB) and forward reports to GFC for information.

3. Composition

Voting Members (13)

Ex-officio (1)

- Vice-Provost and Dean of Students

Appointed (4)

- 1 academic staff (A1.1, A1.5, A1.6, A1.7) to serve as Chair; appointed by GFC Nominating Committee, appointed for more than two years to provide continuity. Preference is given to member with legal training.
- 1 representative from each of the following (3 total):
 - Students' Union Executive ~~or their designee~~, appointed by the Students' Union Executive
 - Graduate Students' Association Executive, appointed by the Graduate Students' Association Executive
 - Residences, ~~elected by the University of Alberta Residence Hall Association~~ appointed by Council of Residence Associations

Cross Appointed (1)

- Dean (or designate) from the GFC Academic Standards Committee (ASC), appointed by the Chair of GFC ASC (*Moved to appointed as per composition principles*)

Elected by GFC (7)

- 2 student members of GFC (graduate or undergraduate)

- 2 academic staff (A1.1, A1.5, A1.6, A1.7) at least 1 of whom must be a member of GFC (increased from one)
- ~~One (1) staff member elected from Categories A1.1 and A1.6 and their counterparts in A1.5 and A1.7* who is a current Associate Dean~~ (covered by appointed member from ASC)
- 1 academic staff (A1.1, A1.5, A1.6, A1.7) who is a former Associate Dean or a former Discipline Officer or a former University Appeals Board (UAB) Chair
- 2 staff (A1.0, A2.0 and/or S1.0, S2.0)

Note: The Vice-Chair will be appointed by the GFC Nominating Committee from amongst the elected academic staff members (A1.1, A1.5, A1.6, A1.7) of CLRC.

Non-Voting Members

- Discipline Officer
- Appeals Coordinator as defined in the Code of Student Behaviour, Code of Applicant Behaviour and the Practicum Intervention Policy
- Director of ~~Campus Security Services~~ University of Alberta Protective Services
- ~~Director of Residence Services~~ Assistant Dean of Students (Residence)
- GFC Secretary
- University Secretary
- Representative from Student Ombuds ~~to be appointed by the members of the Student Ombuds service~~ (moved from a voting member)

4. Delegated Authority from General Faculties Council

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

- 4.1 Approve editorial amendments to:
 - a. the Code of Student Behaviour except editorial amendments to Section 30.6: Procedures for Appeal of Decisions to the University Appeal Board (UAB).
 - b. the Code of Applicant Behaviour except editorial amendments to Section 11.8.9: Appeals Against Decisions of the Registrar
 - c. the Practicum Intervention Policy except editorial amendments as noted to Section 87.5 through 87.10 (Appeals to the GFC Practice Review Board (PRB); GFC PRB Terms of Reference, Powers and Jurisdiction; Composition of the GFC PRB; Procedures Prior to GFC PRB Hearings; Procedures at the GFC PRB Hearing; Confidentiality of Hearing and Material)
 - d. ~~existing residence codes~~

5. Responsibilities Additional to Delegated Authority

- 5.1 To recommend to GFC on proposals for substantive changes to the Code of Student Behaviour, the Code of Applicant Behaviour, and the Practicum Intervention Policy

6. Sub-delegations from GFC CLRC

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

None.

7. Limitations to Authority

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

- 7.1 Editorial amendments

- a. Amendments to the Code of Student Behaviour deemed substantive by CLRC and all amendments to Section 30.6 are forwarded to GFC (Section 30.7 Code of Student Behaviour.)
 - i. Substantive changes to Section 30.6 proceed to the Board Learning and Discovery Committee, which will decide whether or not it can act on behalf of the Board of Governors. (Section 30.7.3(2) Code of Student Behaviour)

- b. Amendments to the Code of Applicant Behaviour deemed substantive by CLRC and all amendments to Section 11.8.10 are forwarded to GFC. (Section 11.8.10 Code of Applicant Behaviour)
 - i. Substantive changes to Section 11.8.9 proceed to the Board Learning and Discovery Committee, which will decide whether or not it can act on behalf of the Board of Governors.(Section 11.8.10.3(2) Code of Applicant Behaviour)

- c. Amendments to the Practicum Intervention Policy deemed substantive by CLRC and all amendments to Sections 87.5 through 87.10 are forwarded to GFC. (Section 87.14 Practicum Intervention Policy)
 - i. Substantive changes to Section 87.5 through 87.10 proceed to the Board Learning and Discovery Committee, which will decide whether or not it can act on behalf of the Board of Governors. (Section 87.14.C Practicum Intervention Policy)

The above listed amendments are subject to the authority of the Board of Governors.

8. Reporting to GFC

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

9. Definitions

Editorial and Substantive – The Committee decides which amendments are editorial and which are substantive

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

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

10. Links

[Code of Student Behaviour](#)
[Code of Applicant Behaviour](#)
[Practicum Intervention Policy](#)
[Residence Community Standards](#)

Approved by General Faculties Council: [date]



1. Mandate and Role of the Committee

The Committee on the Learning Environment (CLE) is a standing committee of GFC charged with promoting an optimal teaching and learning environment in alignment with the guiding documents of the University of Alberta. From time to time, the Chair will bring forward items where the Provost and Vice-President (Academic), in consultation with other units or officers of the University, is seeking the advice of the committee within its areas of responsibility.

2. Areas of Responsibility

- a. Learning environment
- b. Teaching environment
- c. Policies on teaching, learning, teaching evaluation, and recognition for teaching
- d. Policies developed by the Learning Services units
- e. Policies on the ongoing assessment of teaching, learning, and learning services
- f. Innovative and creative learning services and teaching practices
- g. Promotion of reflection and discussions of evidence and the impact of broad societal changes in teaching, learning and learning services
- h. Promotion of teaching and learning opportunities ~~with broad appeal~~ and projects that would benefit the university community

3. Composition

Voting Members (18)

Ex-officio (5)

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

Appointed (1)

- 1 academic staff (Category A1.0) who holds a major teaching award (internal or external award, eg Rutherford, Vargo Chair, 3M, etc.), appointed by the Chair of CLE in consultation with the Chair of Nominating Committee

Elected by GFC (12)

- 4 academic staff (A1.0) from GFC – one of whom will be elected by the committee to serve as Vice Chair
- 1 ~~support~~ non-academic staff at-large (S1.0, S2.0) (changed to at-large because of limited number of eligible GFC members)
- 1 librarian (A1.4) from GFC
- 1 undergraduate student from GFC
- 1 graduate student from GFC
- 1 Chair
- 1 Dean
- 2 1 Associate Dean or Associate Chair, Teaching and Learning (or equivalent)
- 1 sessional staff at-large (A2.1)

Non-voting Members

-
- Vice-Provost and Associate Vice-President (Information Technology) (moved to non-voting in alignment with principles of committee composition)
 - Director, Centre for Teaching and Learning (moved to non-voting in alignment with principles of committee composition)
 - University Secretary
 - GFC Secretary

4. Delegated Authority from General Faculties Council

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

- 4.1 Receive and review policies developed by Learning Services units; institutional policies on teaching, learning, teaching evaluation, and recognition for teaching, institutional Policies on assessment of teaching, learning, and learning services, and policies developed by the Centre for Teaching and Learning, and to recommend to GFC on broad policy directions for excellence in teaching and learning in a manner that ensures accountability of all Faculties in this matter.

5. Responsibilities Additional to Delegated Authority

- 5.1 To review and monitor the implementation of the University's Academic Plan with regard to optimal teaching and an optimal learning environment.
- 5.2 To review and, as necessary, recommend to ~~GFC Academic Planning Committee~~ or the GFC Executive Committee policies on teaching, learning, teaching evaluation, and recognition for teaching that promote the University's Academic Plan.
- 5.3 To review and, as necessary, recommend to ~~GFC Academic Planning Committee~~ or the GFC Executive Committee policies developed by the Learning Services units to promote the University's Academic Plan.
- 5.4 To develop policies that promote ongoing assessment of teaching, learning, and learning services through all Faculties and units.
- 5.5 To ~~nurture~~ promote the development of innovative and creative learning services and teaching practices.
- 5.6 To ~~encourage~~ facilitate the sharing and discussion of evidence about effective teaching, learning, and learning services.
- 5.7 To promote critical reflection on the impact of broad societal changes in teaching, learning, and the learning environment.
- 5.8 To promote projects with relevant internal and external bodies that offer unique teaching and learning opportunities that would benefit the university community.
- 5.9 To consider any matter deemed by the GFC Committee on the Learning Environment to be within the purview of its general responsibility.
- 5.10 To receive and review annual reports from Learning Services units and send them to GFC for information.

From time to time, the Chair will bring forward items where the Provost and Vice-President (Academic), in consultation with other units or officers of the University, is seeking the advice of the committee within its areas of responsibility.

6. Sub-delegations from the Committee on the Learning Environment

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

None.

7. Limitations to Authority

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

8. Reporting to GFC

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

9. Definitions

Learning Services - comprised of interdependent academic service units, each existing to support the University's mission by enabling learning, instruction, and research through knowledge/skills transfer and service delivery; asset stewardship and infrastructure service and development; and resource management, planning, communication and assessment. Learning Services also supports the University's mission through the appropriate application of current technologies and methods. Units: Libraries, Museums and Collections, Bookstore, University of Alberta Press, Technology Training Centre, Copyright Office, Canadian Library Human Resource Study.

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

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

10. Links

Approved by General Faculties Council: [date]



1. Mandate and Role of the Committee

The Undergraduate Awards and Scholarship Committee (UASC) is a standing committee of General Faculties Council (GFC) charged with approving new awards and bursaries and amendments to existing awards and bursaries for undergraduate students in accordance with the UAPPOL Awards and Bursaries for Students Policy and its procedures. ~~that meet published UAPPOL guidelines for students who are not graduate students.~~

2. Areas of Responsibility

- a. New Approval of new undergraduate awards and bursaries and amendments to existing undergraduate awards and bursaries
- b. New policy or revisions to existing policy governing awards for undergraduate students

3. Composition

Voting Members (11)

Ex-officio (0)

~~- Vice Provost and Dean of Students~~

Elected by GFC (10)

- 5 academic staff (A1.1, A1.5, A1.6, A1.7) who are members of GFC (with no more than one representative from any Faculty) – *one of whom will be elected by the committee to Serve as Chair and one elected to serve as Vice-Chair.*
- ~~Two~~ 4 undergraduate students, at least two of whom are members of GFC
- 1 Assistant/Associate/Vice Dean from a Faculty who is responsible for the administration of undergraduate awards

Cross Appointed (1)

- 1 academic staff member cross-appointed from the GFC Academic Standards Committee (ASC) appointed by the Chair of ASC

Non-voting Members

- Assistant Registrar, Student Financial Support
- Senior Development Officer, Office of Advancement
- GFC Secretary
- University Secretary

4. Delegated Authority from General Faculties Council

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

- 4.1 Approve new undergraduate awards and bursaries
- 4.2 Approve proposed changes to any undergraduate student award or bursary ~~already~~ previously approved by GFC UASC
- 4.3 Approve the minimum value of a major award for undergraduate students, and to review that value regularly
- 4.4 Approve the minimum value of an undergraduate award administered by the Student Awards Financial Support Office, and to review that value regularly

4.5 Approve the definition of a full normal course load for purposes of awards where more than one Faculty is involved

5. Responsibilities Additional to Delegated Authority

None.

6. Sub-delegations from the GFC Undergraduate Awards and Scholarship Committee

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

None.

7. Limitations to Authority

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

7.1 The Committee may be called upon to consider awards to which both undergraduate and graduate students are eligible; however, graduate student awards and bursaries are approved by the Faculty of Graduate Studies and Research under delegated authority from General Faculties Council.

8. Reporting to GFC

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

The Committee shall report annually to General Faculties Council to highlight any identified trends in regards to undergraduate financial support available to students at the University of Alberta.

9. Definitions

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

10. Links

[Awards and Bursaries for Students Policy](#)

[Awards for Undergraduate Students Procedure](#)

[Bursaries for Students Procedure](#)

[Creation of New Awards and Bursaries for Undergraduate Students Procedure](#)

[University Medal Requirements Procedure](#)

Approved by General Faculties Council: [date]



1. Mandate and Role of the Committee

The University Teaching Awards Committee (UTAC) is a standing committee of General Faculties Council (GFC) charged with adjudicating:

- the William Hardy Alexander Award for Excellence in Undergraduate Teaching
- the Rutherford Award for Excellence in Undergraduate Teaching
- the Provost's Award for Early Achievement of Excellence in Undergraduate Teaching
- the Teaching Unit Award
- the Award for Excellence in Graduate Teaching

2. Areas of Responsibility

- Adjudicate GFC's annual teaching awards (*see above*)
- Review and recommend changes to the UAPPOL Awards for Teaching Excellence Policy and its procedures for these awards

3. Composition

Voting Members (10)

Elected by GFC (8)

- 4 academic staff (A1.1, A1.5, A1.6, A1.7) at least two of the academic staff members should be members of GFC (with no more than one from any Faculty) – one of whom will be elected by the Committee to serve as Chair, and one elected to serve as Vice Chair.
- 1 sessional academic staff at-large (A2.3)
- 2 undergraduate students from GFC
- 1 graduate student from GFC

Nominated Appointed by the Alumni Association (2)

- 2 alumni, appointed by the Alumni Association

Non-Voting Members

- University Secretary
- GFC Secretary

4. Delegated Authority from General Faculties Council

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

- 4.1 Determine winners of these awards according to approved criteria. The guidelines and procedures for the committee can be found at governance.ualberta.ca

5. Responsibilities Additional to Delegated Authority

- 5.1 Review UAPPOL Awards for Teaching Excellence and Policy and its procedures
- 5.2 To recommend to GFC on changes to UAPPOL Awards for Teaching Excellence Policy
- 5.3 To recommend to the Provost and Vice-President (Academic) on changes to UAPPOL Teaching Award Procedures

6. Sub-delegations from University Teaching Awards Committee

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

None.

7. Limitations to Authority

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

7.1 Information Management

- a. Information management of UTAC's proceedings must be clearly defined and able to stand up to close scrutiny. All information that forms the basis of a decision must be clearly understood and documented, along with the source of such information.
- b. Additional Information about nominees - Decisions will be based on the contents of the nomination files but may involve a consideration of additional information provided this information is publicly available and shared with all members of UTAC. Offering anecdotal information (eg a testimonial) regarding individual candidates could unfairly influence the outcome of deliberations and is not permitted.

7.2 Conflicts of interest [to be further developed]

- a. All members are expected to divest themselves of their particular concerns and act in the best interests of the University of Alberta in choosing award winners
- b. Members must acknowledge any conflicts or perceived conflicts. Should a conflict arise, the member should not participate in the nomination process within their Faculties. Such participation includes but is not limited to assistance in preparation of nomination packages, including and especially the preparation of letters of support. If a member feels he or she is unable to participate ethically in the adjudication process, the member should withdraw from the discussion.

8. Reporting to GFC

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

9. Definitions

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

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

10. Links

[Awards for Teaching Excellence Policy](#)
[William Hardy Alexander Award for Excellence in Undergraduate Teaching](#)
[Rutherford Award for Excellence in Undergraduate Teaching](#)
[Provost's Award for Early Achievement of Excellence in Undergraduate Teaching](#)
[Teaching Unit Award](#)
[Award for Excellence in Graduate Teaching](#)

Approved by General Faculties Council: [date]



1. Mandate and Role of the Committee

The Replenishment Committee (RC) is a standing committee of GFC charged with recommending to GFC on the replenishment of GFC Nominating Executive Committee.

2. Areas of Responsibility

a. Provide recommendations to GFC on members to serve on the GFC Nominating Executive Committee

3. Composition

Voting Members (5)

Ex-officio (2)

- 1 graduate student member who serves in a statutory position on GFC
- 1 undergraduate student who serves in a statutory position on GFC

Elected by GFC (3)

- 3 academic staff (A1.1 or A1.1 now on post-retirement contracts) who had been elected by a Faculty to serve on GFC and who recently completed a term or terms on GFC; *one of which will serve as Chair and one as Vice-Chair as decided by the committee.*

Non-voting Members

- University Secretary
- GFC Secretary

4. Delegated Authority from General Faculties Council

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

4.1 Recommend to GFC on the replenishment of GFC Nominating Executive Committee

5. Responsibilities Additional to Delegated Authority

None.

6. Sub-delegations from Replenishment Committee

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

None.

7. Limitations to Authority

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

- 7.1 The Committee provides a report of its recommendations to GFC who will then have the opportunity to add further eligible nominees. If further eligible nominations are received, an election may be held according to the procedures at: governance.ualberta.ca; otherwise, the report of the Committee is considered approved and the nominees elected.

8. Reporting to GFC

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

9. Definitions

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

10. Links

Approved by General Faculties Council: [date]

DRAFT



Purpose:

To draft revised Terms of Reference of GFC and all GFC standing committees, updating delegated authorities for recommendation to GFC by April 30, 2017 in accordance with the motion approved by GFC on January 25, 2016, that it “review the delegation of its authorities to all of its current committees and [...] vote on whether to renew or revise these delegated authorities”.

Suggested Composition:

A minimum of one member of the Academic Governance Working Group
Up to four (4) faculty members with various GFC standing committee experiences, such as current or recent GFC membership or having served on a major standing committee
One member of the university community with broad governance expertise
Two (2) students – one graduate and one undergraduate – with broad university governance experience
Up to two (2) non-faculty staff members

Resource members: Meg Brolley, Marion Haggarty France, Amissa Jablonski, others as required (Academic Governance Working Group, Provost’s Office, Registrar’s Office, etc)

Chair to be elected from the ad hoc committee

The ad hoc committee may add to its membership as it deems necessary.

Meetings:

The ad hoc committee will meet once or twice a month from October to April. A tentative meeting schedule will be drafted.

As with other GFC committees, the ad hoc committees meetings will be open to observers. Guests will be invited to attend as required. Other consultation activities will be determined by the ad hoc committee.

Terms of Reference:

1. To examine the terms of reference of all GFC standing committees paying particular attention to:
 - Mandate (structured appropriately? Duplication? Gaps? Current practice)
 - Delegated authority
 - Committee composition (appropriate size and membership)
 - Current context
2. To identify the key elements in each GFC Standing Committee’s role as it relates to the responsibilities and efficacy of the overall academic governance of GFC.
3. To initiate discussion on any other matters the ad hoc committee considers relevant to its purpose and to provide recommendations on other matters related to academic governance that arise during the review.
4. To be informed by the GFC discussions in 2015-16 (March 21 [materials](#) and [minutes](#); May 2 [materials](#) and [minutes](#)), including documents such as ‘[A Reflection on the State of Academic Governance at the University of Alberta](#)’ and other literature and best practices in the field.

5. To provide recommendations on revisions to the terms of reference including delegated authority for GFC and GFC standing committees.
6. Identify further steps (ie administrative delegations, faculty councils, UAPPOL).
7. Provide regular status reports to GFC.

Timeline:

Final report and recommendations to be submitted to GFC for approval no later than April 30, 2017

Approved by GFC: September 26, 2016



Proposed Membership:

A minimum of one member of the Academic Governance Working Group
Mark Loewen, Faculty of Engineering

Up to four (4) faculty members with various GFC standing committee experiences
Deborah Burshtyn, Faculty of Graduate Studies
Elaine Geddes, Faculty of Business
Marc de Montigny, Faculté Saint-Jean (commencing January 2017)
Frank Robinson, Faculty of Agricultural, Life and Environmental Sciences

One member of the university community with broad governance expertise
Steve Patten, Faculty of Arts

Two (2) students – one graduate and one undergraduate – with broad university governance experience
Leigh Spanner – Grad Student
Marina Banister – Undergraduate Student

Up to two (2) non-faculty staff members
Betty-Jo Werthmann, Education
Julie Naylor, Science

Approved by GFC: September 26, 2016

OUTLINE OF ISSUE

Agenda Title: **Academic Governance and Delegated Authority**

Motions:

Whereas at its meeting of 25 January 2016 the General Faculties Council (GFC) approved the following motions:

THAT the General Faculties Council will review the delegation of its authorities to all of its current committees, and by 30 June 2016 vote on whether to renew or revise these delegated authorities.

and

THAT the review of the governance and operations of the General Faculties Council is to be informed by the June 2013 report "A Reflection on the State of Academic Governance at the University of Alberta."

At its meeting of 30 May 2016, the **General Faculties Council**:

- a. approves the interim renewal of delegated authorities to all GFC standing committees until revised "Terms of Reference" modifying the delegated authorities of these committees are presented to it for its final approval on or before 30 April 2017;
- b. affirms its authority to make recommendations to the Board of Governors of the University of Alberta on any matter that it deems to be of interest to the University; and
- c. affirms its ultimate overarching authority to recall to it at any time any matter being considered by its standing committees under delegated authority;
- d. approves the creation of an *ad hoc* committee to lead, during the 2016-17 academic year, the process for the revision of the "Terms of Reference" for GFC and all of its standing committees, with "Terms of Reference" for and composition of this *ad hoc* committee to be approved by GFC at its September 2016 meeting;
- e. directs the *ad hoc* committee to bring forward to GFC its recommendations for revisions to the "Terms of Reference" for GFC and its Standing Committees addressing delegated authority for final approval on or before 30 April 2017;
- f. directs that during the 2016-17 academic year GFC meet as often as necessary between September and April to discuss and consider proposals of the *ad hoc* committee for the revision of the "Terms of Reference" of the General Faculties Council and its standing committees; and
- g. moves that until such time as the "Terms of Reference" for the General Faculties Council and its standing committees are revised, anything in the current "Terms of Reference" for the General Faculties Council or any of its standing committees not consistent with any of the above is null and void.

Item

Action Requested	<input checked="" type="checkbox"/> Approval <input type="checkbox"/> Recommendation <input type="checkbox"/> Discussion/Advice <input type="checkbox"/> Information
Proposed by	GFC Executive Committee and the Academic Governance Working Group
Presenter	Duncan Elliott and Mirko van der Baan, Co-Chairs, Academic Governance Working Group
Subject	Academic Governance and Delegated Authority

Details

Responsibility	David Turpin, President and Chair, General Faculties Council
The Purpose of the Proposal is (please be specific)	<p>To provide General Faculties Council (GFC) with a recommendation from the GFC Executive Committee and Academic Governance Working Group.</p> <p>To propose a plan forward for GFC and its Standing Committees to carry on with business for the next academic year, and to forward a proposal for consideration to establish an <i>ad hoc</i> committee to continue the work and deliver a recommendation to General Faculties Council by April 30, 2017.</p> <p>Since February, the Academic Governance Working Group alongside GFC and its standing committees has been engaged in discussion about the following questions:</p> <ul style="list-style-type: none"> • Are we living up to the principles of the Committees' Mandate? • What is the desired level of clarity on delegated authority? • Is current practice matching the Mandate? • Are we striking a correct balance between full delegation and no delegation? • Are appropriate matters being referred to full GFC from standing committee? • Is this your vision of Academic Governance?
The Impact of the Proposal is	The GFC Executive Committee is recommending the proposal developed by the Academic Governance Working Group for decision by General Faculties Council at the May 30, 2016 meeting.
Replaces/Revises (eg, policies, resolutions)	N/A
Timeline/Implementation Date	Recommendation to GFC on academic governance delegations and renewal - May 30, 2016 Recommendation to GFC on revisions to Terms of Reference and delegated authority – April 30, 2017
Estimated Cost	N/A
Sources of Funding	N/A
Notes	<p>On January 25, 2016, General Faculties Council approved the following motions:</p> <p><i>Motion 1: THAT General Faculties Council will review the delegation of its authorities to all of its current committee, and by 30 June 2016 vote on whether to renew or revise these delegated authorities.</i></p>

	<p><i>Motion II: THAT the review of the governance and operations of the General Faculties Council is to be informed by the June 2013 report “A Reflection on the State of Academic Governance at the University of Alberta”</i></p> <p>The GFC Executive Committee created the Academic Governance Working Group (AGWG) to consider how to respond to the motions. The AGWG, following several meetings, review of meeting materials and academic governance committees’ terms of reference, provided a recommendation to the GFC Executive Committee. Advice to GFC on a plan to move forward is now being presented.</p>
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Alignment/Compliance

<p>Alignment with Guiding Documents</p>	<p>Institutional values (2015 Comprehensive Institutional Plan)</p> <p><i>“Our values:</i> The U of A community of students, faculty, staff, and alumni rely on shared, deeply held values that guide behaviour and actions. These values are drawn from the principles on which the University of Alberta was founded in 1908 and reflect a dynamic, modern institution of higher learning, leading change nationally and internationally.</p> <p><i>Excellence:</i> Excellence in teaching that promotes learning; outstanding research and creative activity that fuel discovery and advance knowledge; and enlightened service that builds citizenship.</p> <p><i>Student Experience:</i> The centrality of our students and our responsibility to provide an intellectually superior educational environment.</p> <p><i>Integrity and Academic Freedom:</i> Integrity, fairness, and principles of ethical conduct built on the foundation of academic freedom, open inquiry, and the pursuit of truth.</p> <p><i>Diversity and Creativity:</i> A diverse, yet inclusive, dynamic collegial community that welcomes change and seizes opportunity with passion and creativity.</p> <p><i>Pride:</i> Pride in our history and traditions, including contributions from Aboriginal people and other groups, which enrich and distinguish the university.”</p>
<p>Compliance with Legislation, Policy and/or Procedure Relevant to the Proposal (please quote legislation and include identifying section numbers)</p>	<p>1. Post-Secondary Learning Act (PSLA)</p> <p>“Powers of general faculties council 26(1) Subject to the authority of the board, a general faculties council is responsible for the academic affairs of the university and, without restricting the generality of the foregoing, has the authority to</p> <p>(a) exercise any power of a faculty council that the general faculties council considers desirable to exercise;</p> <p>(b) consider and make decisions on the reports of the faculty councils as to the programs of study in the faculties;</p> <p>(c) determine all programs of study to which clause (b) does not apply that are to be offered by the university for credit toward the requirements for any degree or diploma;</p>

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- (d) determine the timetables for examinations and for lectures and other instruction in each faculty;
 - (e) consider and make decisions on the reports of faculty councils as to the appointment of examiners and the conduct and results of examinations in the faculties;
 - (f) provide for the granting and conferring of degrees other than honorary degrees;
 - (g) provide for the preparation and publication of the university calendar;
 - (h) hear and determine appeals from the decisions of faculty councils on applications, requests or petitions by students and others;
 - (i) consider all matters reported to it by any faculty council and communicate its opinion or action on those matters to the faculty council concerned;
 - (j) determine the date for the beginning and end of lectures in the university and also the beginning and end of each university term;
 - (k) make rules and regulations for the management and operation of libraries;
 - (l) recommend to the board the establishment of faculties, schools, departments, chairs and programs of study in the university in any subject that the general faculties council thinks fit;
 - (m) make rules and regulations respecting academic awards;
 - (n) determine standards and policies respecting the admission of persons to the university as students;
 - (o) make recommendations to the board with respect to affiliation with other institutions, academic planning, campus planning, a building program, the budget, the regulation of residences and dining halls, procedures in respect of appointments, promotions, salaries, tenure and dismissals, and any other matters considered by the general faculties council to be of interest to the university;
 - (p) authorize lecturing and teaching on the university premises by persons other than members of the staff of the university;
 - (q) authorize a school to have a school council of the same nature and with the same powers, duties and functions as a faculty council and, in its discretion, revoke any authority so given.
- (2) Any recommendations from the general faculties council to the board must be transmitted to the board through the president.
- (3) A general faculties council may delegate any of its powers, duties and functions under this Act, including the powers referred to in section 31, as it sees fit and may prescribe conditions governing the exercise or performance of any delegated power, duty or function, including the power of subdelegation.”

2. General Faculties Council Terms of Reference / 3. Mandate
“Powers Retained by General Faculties Council

All powers and responsibilities under Section 26 of the PSLA not expressly delegated now or in the future shall be retained by General Faculties Council. (GFC 02 DEC 1966)

The issues which remain with GFC or which would be referred by a Standing Committee to GFC would generally be in the nature of the following:

- high level strategic and stewardship policy issues or matters of significant risk to the University;
- alterations to the mandate, terms of reference, composition, or structure of a Standing Committee;

- those things which a Standing Committee considers to be of major strategic significance to or long-term impact on the University;
- those matters on which, in the opinion of a Standing Committee chair, there has been a strong division of opinion within the Standing Committee; and
- issues in which there is a lack of clarity as to which Standing Committee is responsible.

3. General Faculties Council Terms of Reference / 4. General Faculties Council Procedures

....

a) **New Committees and Ad Hoc Committees**

When GFC establishes a new committee, GFC (or delegate body) shall provide clear, explicit, and detailed terms of reference. (GFC 24 NOV 1980)

- b) **Ad Hoc Committees:** When an ad hoc committee is in doubt as to the scope of its terms of reference, it shall seek clarification and guidance from the Executive Committee of General Faculties Council. (EXEC JUN 1971)

When GFC establishes an ad hoc committee, a reporting date shall be set by the Secretary to GFC. (EXEC 03 MAY 1982)

Ad hoc committees shall be considered as being discharged once their reports are received or accepted by General Faculties Council unless the committee recommends otherwise, or General Faculties Council requests it to continue. (GFC 29 APR 1968)

4. GFC Executive Committee Terms of Reference/3. Mandate of the Committee: "To act as the executive body of General Faculties Council and, in general, carry out the functions delegated to it by General Faculties Council."

[...]

"5. Agendas of General Faculties Council

GFC has delegated to the Executive Committee the authority to decide which items are placed on a GFC Agenda, and the order in which those agenda items appear on each GFC agenda.

When ordering items, the GFC Executive Committee will be mindful of any matters that are of particular concern to students during March and April so that the student leaders who bring those items forward are able to address these items at GFC before their terms end. (EXEC 06 NOV 2006)

[...]

With respect to recommendations from other bodies and other GFC committees, however, the role of the Executive Committee shall be to examine and debate the substance of reports or recommendations and to decide if an item is ready to be forwarded to the full governing body. The Executive Committee may decide to refer a proposal back

Item No. 8

	to the originating body, to refer the proposal to another body or individual for study or review, or to take other action in order to ready a proposal for consideration by General Faculties Council. When the GFC Executive Committee forwards a proposal to GFC, it shall make a recommendation that GFC endorse; endorse with suggested amendments; not endorse; or forward the proposal with no comment.”
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Routing (Include meeting dates)

Participation: (parties who have seen the proposal and in what capacity)	GFC Executive Committee (for discussion) – December 7, 2015 and January 11, 2016 General Faculties Council (for discussion) – January 25, 2016 GFC Executive Committee (for discussion) – February 1 and March 7, 2016 GFC Executive Committee Working Group on Academic Governance (for discussion)– February/March General Faculties Council (for discussion) – March 21, 2016 Academic Governance Working Group (for discussion) – April 2016 GFC Executive Committee (for discussion) – April 11, 2016 General Faculties Council – May 2, 2016 Academic Governance Working Group (for discussion) – May 2016 General Faculties Council Executive – May 16, 2016
Approval Route (Governance) (including meeting dates)	GFC Executive Committee – May 16, 2016 General Faculties Council – May 30, 2016
Final Approver	General Faculties Council – May 30, 2016

Attachments:

Attachment 1 (pages 1-6): Excerpt from the *Post-Secondary Learning Act*, sections 26 and 31. Complete text available at: <http://www.qp.alberta.ca/documents/Acts/p19p5.pdf>

Attachment 2: Presentation to GFC, May 30, 2016

Prepared by: Marion Haggarty-France, University Secretary, marion.haggarty-france@ualberta.ca, and Meg Brolley, GFC Secretary and Manager of GFC Services, meg.brolley@ualberta.ca, and with input from members of the Academic Governance Working Group

Introduction

Charged, as it is, with making recommendations with regard to academic governance, the ad hoc committee began its work by identifying some of the core ‘guiding principles’ that should inform its deliberations.

We understand ‘governance’ as the processes through which an organization defines and achieves its mandate. This includes making decisions with regard to the structures, policies, and practices of decisionmaking, the exercise of authority, and the mechanisms of accountability.

University governance is multi-level and bicameral. Provincial legislation – the Post-Secondary Learning Act (PSLA) – sets the framework for university governance. At the institutional level, the PSLA prescribes that UAlberta will have bicameral institutions of governance – that is, there are two governing bodies. The Board of Governors (the Board) oversees the business affairs of the institution – from appointing the President, through to approving budgets, investment strategies, collective agreements, and long-range strategic planning. The General Faculties Council (GFC) oversees ‘academic affairs’.

To understand the operations of the university, it is important to note the distinction between ‘governance’ and ‘administration’. While the Board and GFC set policies and establish broad directions for the institution, the university’s senior executive team is responsible for administrative operations, including operational policies and decisions. And this is replicated at the Faculty and Departmental levels across the university. Good governance requires collegial practice at all levels including the Board, the executive and all members of the institution.

This *ad hoc* committee’s mandate pertains to reviewing academic governance at the institutional level. Thus, we are to remain focused on the operations of GFC and its standing committees (including the delegation of authority from GFC, the mandate and structure of committees, and related matters).

But, as a matter of principle, we embrace a reasonably expansive understanding of ‘academic affairs’ and, thus, GFC’s mandate. We support the notion that GFC must have the capacity to defend its legitimate role with regard to issues that exist at the boundary between governance and administration, as well as between Board and GFC responsibilities. We also support the notion that GFC should have early opportunities to influence strategic decisions and directions that are set by the Board or administration, but impinge on academic affairs.

Guiding Principles

As a committee, we are committed to the principles of ‘collegial academic governance’. These principles include:

- A desire to build mutual understanding of common goals and shared purpose – operationalized in numerous ways, including the adoption of an institutional strategic plan.
- A commitment to inclusive and participatory governance decision-making.
- A desire to facilitate meaningful individual-level engagement in governance processes.
- A commitment to openness, transparency, and respectful communication.
- A commitment to responsiveness, respect, and reciprocity between governing bodies and between governing bodies and university administration.

Further Guiding Elements

Guided by these principles, we begin our deliberations in agreement on the following:

- GFC must take seriously its responsibility for academic affairs, and commit to showing leadership on emerging issues and serving as a forum for discussing and taking decisions in the interest of academic freedom, and excellence in research, creativity, and teaching and learning.
- While the standing Committees of GFC should have real power to make (or initiate) substantive decisions, a commitment to regular and reciprocal communication should position GFC to ensure that its members retain the capacity to bring significant issues to the floor of GFC for debate and decision. Standing Committee chairs have a responsibility to identify issues that Standing Committee members feel are deserving of discussion by full GFC.
- The composition of GFC Standing Committees should reflect the principle of meaningful representation of elected, appointed, and ex officio, and student, staff, and faculty membership.
- While ensuring appropriate checks and balances are in place, appropriate consultations occur, and competing interests are always considered, GFC's committee structure and decision making processes should be designed to ensure streamlined pathways for the consideration and, when desired, approval of proposals flowing from Faculties and other units within the University.
- Meetings of GFC must be conducted in a manner that encourages participation and engagement.
- Members of GFC, whether they are elected, appointed, or ex officio, student, staff, or faculty, should be encouraged to represent the interests of any 'constituency' with which they are affiliated, while also considering competing interests and striving to consider (and define) the broader institutional interest. This overview of the ad hoc committee's guiding principles is, in many ways, incomplete, but it reflects our starting point for considering the many issues before us.

Approved by GFC: November 21, 2016



Past GFC Reviews:

- 1966 – Committee on Procedures
- 1973 – Committee to Study the Role of General Faculties Council
- 1978 – President’s Committee on University Legislation
- 1980 – ad hoc Committee on GFC Committee and Procedures (established May 1978, reported November 1980)
- 1981 – report by Executive Assistant to the President on streamlining the GFC committee structure
- 1994 – GFC Executive report and recommendations on Governance Issues and GFC Committee Structure (tabled)
- 1996 – Review of above report by Vice-President (Academic)
- 2002/03 – Maintaining Momentum – Funding Solutions Task Force included University Governance
- 2005 – Dimond report (recommendations related to Funding Solutions Task Force) – included unification of Board/GFC support system

More recent reviews:

- 2013 – Academic Governance: Moving Forward – White Paper on General Faculties Council Reforms
- 2014 – Students’ Union Discussion Paper on General Faculties Council (considered by GFC Executive, not forwarded to GFC as report was not complete) (released, upon a request at GFC September 2015)
- 2014 – Report of Task Force on GFC Reforms (released, upon a request at GFC September 2015)

CONSULTATIONS

General Faculties Council	-September 26, 2016 – approval of <i>ad hoc</i> Committee Terms of Reference and membership -Updates: November 21, 2016, January 30, 2017 -March 20, 2017 – update and preliminary recommendations
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GOVERNANCE INCLUDING DELEGATED
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Office of the Vice President (Research) -Lorne Babiak -Katharine Moore	-January 17, 2017
Former GFC CLE Chair, Olive Yonge	-January 17, 2017
Deans' Council	-January 18, 2017
Vice Provost and Chief Librarian, Gerald Beasley	-January 19, 2017
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GFC *Ad Hoc* Committee on Academic Governance Including Delegated Authority



Report and Recommendations



Core Problems

- Lack of engagement on substantive issues
- Lack of transparency and easy access to information
- Limited clarity regarding the role and powers of GFC and its committees
- The general sense that GFC has felt disempowered
- Limited opportunities for committee participation



Ad Hoc Guiding Principles

Commitment to the principles of ‘collegial academic governance’:

- **Mutual understanding of common goals**
- **Inclusive** and **participatory** governance
- **Meaningful** individual-level engagement in governance
- **Openness, transparency, and respectful** communication.
- **Responsiveness, respect, and reciprocity** between governing bodies and between governing bodies and university administration



Committee Process

- Background research
- Assessment of problems
- Guiding Principles
- Consultations
- Decisions and report writing



Today's Materials

- New GFC Principles and Guidelines
 - Principles for Delegation of Authority
 - Principles of Standing Committee Composition
 - Roles and Responsibilities of Members
 - Meeting Procedural Rules
- *Ad Hoc* Committee's Report
 - Recommendations
 - Transitioning and Path Forward
 - Draft Terms of Reference



Framework for Collegial Governance

- Foundations for GFC and its committees
- Transfer of ownership and responsibility
- Recommendations for immediate and future reforms
- Process and timeline



Principles for Delegation of Authority

- Essential
- Accountability
- Reasonable and Appropriate
- Clear and Transparent
- Exceptional Cases



Principles of Standing Committee Composition

- Membership: Draw on GFC
- Elected Members
- Ex-officio Members
- Vice-Chairs



Roles and Responsibilities of Members

- Understand
- Participate
- Attend
- Accountability and Ethics
- Communication



Meeting Procedural Rules

- General Principle: Facilitate inclusive and respectful dialogue for efficient decision making
 - Procedures
 - Motions
 - Quorum
 - Voting



Report

- Builds on foundation laid by the four core documents
- Recommendations for immediate and future reforms
- Implementation
- Terms of Reference



Transitioning

- Ongoing work
- Transfer of responsibility
- Maintain current delegations until new Terms of Reference are approved



GFC *Ad Hoc* Committee on Academic Governance Including Delegated Authority



Mark Loewen – Chair

Steve Patten – Vice Chair

Marina Banister

Julie Naylor

Deborah Burshtyn

Frank Robinson

Marc de Montigny

Leigh Spanner

Elaine Geddes

Betty jo Werthmann

General Faculties Council Standing Committee Report

GFC Executive Committee

1. Since the last GFC meeting, the Executive Committee met on April 10, 2017.

2. Items Approved Under Delegated Authority

Proposed Parchment Wording for the Centre Collégial de l'Alberta Programs

GFC Agenda for April 21, 2017

3. Items Recommended to GFC

Negotiated (Proposed) Changes to the Contract Academic Staff: Teaching (CAS:T) Agreement

GFC Ad Hoc Committee on Academic Governance Including Delegated Authority: Report and Recommendations

4. Items that the Committee Discussed or Advised on

Update from the Secretary to General Faculties Council on Reapportionment

Terms of reference and records of meetings for this committee can be found at:
<http://www.governance.ualberta.ca/GeneralFacultiesCouncil/ExecutiveCommittee.aspx>

Submitted by:
David Turpin, Chair
Executive Committee