



Monday, November 27, 2017
Council Chamber, 2-100 University Hall (UNH)
2:00 PM - 4:00 PM

OPENING SESSION

1. Approval of the Agenda David Turpin
2. Approval of the Minutes of October 30, 2017 David Turpin
3. Report from the President David Turpin
4. Update on ad hoc Committee Recommendations (no documents) Mark Loewen
Michael Phair
“THAT the Chair of the Board of Governors be invited annually to speak at a GFC meeting” (p 17 ad hoc report)
5. New Members of GFC David Turpin
[Note: A motion to appoint may be proposed only by a statutory member of GFC.]
Motion 1: To Appoint New Members

DISCUSSION ITEMS

6. Joint Board / GFC / Senate Summit (no documents) David Turpin
7. Renewal of the Undergraduate Nursing Curriculum, Faculty of Nursing Greta Cummings
Olive Yonge
Sandra Davidson

ACTION ITEMS

8. Proposal to Waive English Language Proficiency Requirement for the Master of Financial Management (MFM) and the Master of Business Administration (MBA) programs delivered in Mandarin by the Alberta School of Business, Faculty of Graduate Studies and Research Tammy Hopper
Deborah Burshtyn
Michael Maier
Motion: To Approve

DISCUSSION ITEMS

9. Question Period David Turpin

9.1 Question from GFC member Dilini Vethanayagam regarding policies on accepting research funding with regards to marijuana and
Response from the Provost and Vice-President (Academic)

INFORMATION REPORTS

[If a GFC member has a question about a report, or feels that the report should be discussed by GFC, the GFC member should notify the Secretary to GFC, in writing, two business days or more before GFC meets so that the Committee Chair (or relevant expert) can be invited to attend.]

10. Report of the GFC Executive Committee
11. Report of the GFC Academic Planning Committee
12. Report of the GFC Academic Standards Committee
13. GFC Nominations and Elections ([current GFC committee vacancies](#))
14. Report of the Board of Governors
15. Information Items
 - A. General Appeals Committee (GAC) Annual report to GFC (July 1, 2016 – June 30, 2017)
 - B. Annual Report of Residence Discipline Statistics: 2016-2017
 - C. Student Conduct and Accountability Annual Report
 - D. Annual Report of the Appeals and Compliance Officer (2016-2017)
16. Information Forwarded to GFC Members Between Meetings (no items)

CLOSING SESSION

17. Next meeting date: January 29, 2018

Documentation was before members unless otherwise noted.

Meeting REGRETS to: Andrea Patrick, 780-492-1937, apatrick@ualberta.ca
Prepared by: Meg Brolley, GFC Secretary and Manager of GFC Services, 780-492-4733,
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University Governance www.governance.ualberta.ca

PRESIDENT'S REPORT

TO THE GENERAL FACULTIES COUNCIL

Over the past two months, we have made progress towards several of our goals and objectives laid out in *For the Public Good*. I have highlighted some of those recent developments in the following pages.

Of particular note:

- The University Relations digital team is piloting a new homepage layout for ualberta.ca, designed to improve engagement and better incorporate the diverse stories of our university community.
- We are continuing our work with Universities Canada and the U15 to advocate for the Naylor Report recommendations, and influence the strategic direction of federal investment in basic research.
- We have begun working towards our [financial sustainability](#) goals outlined in Objective 22. Our work includes refining and implementing several financial tools, as well as setting preliminary budget planning parameters for the next 3 years.

As this is the final GFC meeting of 2017, I would like to wish everyone a happy holiday season and a restorative winter break. I look forward to reconvening and continuing our work in the new year.

BUILD

Métis Scholar Awards Endowment Fund

Over the past several years, the Métis Scholar Awards Endowment Fund has helped support more than 90 Indigenous students at the U of A. This November, the Métis Nation of Alberta and the Rupertsland Institute bolstered the endowment with an additional \$1 million gift.

As we strive to attract top students from across and beyond Alberta—and build a community that reflects the diversity of our province and country—student financial supports like this one provide us with an invaluable tool.

The Métis Scholar Awards endowment is now valued at more than \$6 million dollars. It is one of the largest endowments at the University of Alberta.

KEY TALKING POINT:

As one of Canada's top universities, we strive to attract exceptional students from across the country. These students bring a diversity of ideas and perspectives that strengthen our whole community.

Bundled Admission and Residence Applications

This October, the Office of the Registrar, Residence Services, and IST announced a new admission and residence application process. First-year applicants can now apply for both admission and residence on a single form, pay both application fees simultaneously, and accept both offers through Bear Tracks.

The streamlined residence and admission process could be a determining factor for out-of-province students, and will better support our Undergraduate National Recruitment Strategy.

UAlberta.ca Pilot Project

You may have noticed some recent [changes to ualberta.ca](#). Over the past several months, the University Relations digital team has evaluated engagement with our site—how users view it, where they click, what type of content they search for, and what content they are drawn to. The new design will help generate interest in the university from both internal and external audiences, as well as better support strategic initiatives like student recruitment.

The University Relations digital team is piloting its new design through the end of November.

EXPERIENCE

New PhD in Indigenous Studies Program

Five students have started into the PhD in Indigenous Studies program, offered through the Faculty of Native Studies. The compressed doctoral program, completed over three years, aims to move students into careers more quickly. The PhD in Indigenous Studies represents an important expansion for both the Faculty of Native Studies and the Indigenous studies discipline.

Experiential Learning Environmental Scan

This October, you may have received an experiential learning survey from the Office of the Provost and the Centre for Teaching and Learning. The survey is part of a joint initiative to review current experiential learning opportunities at the U of A, and ultimately increase students' participation in a broad range of experiential learning opportunities. Alongside the survey, the two offices completed several interviews, a literature review, and an environmental scan of the U15 universities.

A Council on Experiential Learning, with representation from across the academy (including undergraduate and graduate students), is convening to support experiential learning development at the University of Alberta moving forward. We are currently establishing terms of reference for the council, and this month's GFC agenda includes an early consultation on the above initiatives.

KEY TALKING POINT:

As a research university, we offer a wealth of transformative learning experiences. We strive to inspire our students, nurture their talents, and enable their success both within the university and beyond it.

Teaching Practices and Supports Survey

In addition to the experiential learning initiative above, the Centre for Teaching and Learning (CTL) is [reviewing current teaching practices](#) across our campuses. You may have received the CTL's survey by email earlier in November—you can also find the survey [here](#).

The survey focuses on creativity and innovation in teaching, and explores:

- Teaching practices already in use across our campuses
- Changes instructors would like to make in their teaching
- Supports that instructors have and/or need to make such changes

The results will be disseminated across the university, and will help the CTL to develop relevant and responsive programming and resources.

OFFICE OF THE PRESIDENT

EXCEL

Academic Excellence

The U of A's students, faculty and staff continue to excel across disciplines and at the highest levels. I recently attended the following celebrations:

2017 Killam Laureates

This year, we celebrated the 50th anniversary of the Killam program. The Killam endowments have generated more than \$116 million in funding for the U of A alone, and continue to support research and scholarship at the highest levels.

The U of A's [24 Killam Laureates](#) for 2017 represent a variety of disciplines, including: education, arts, science, business, medicine and health sciences, engineering, and agricultural and environmental sciences. All four Killam trustees joined us at North Campus on October 18 to recognize the new laureates.

TEC Edmonton Innovation Awards

TEC Edmonton's 2017 Innovation Awards were hosted on North Campus on November 16. The awards celebrate knowledge translation and recognize U of A researchers who have successfully received a U.S. patent or created a spin-off company.

At the 2017 Awards, we celebrated:

- **25** U of A researchers who received U.S. patents
- **29** total patents for U of A researchers
- **4** new spin-off companies

KEY TALKING POINT:

The U of A is a public university. To serve the public good, our leading research needs to inspire innovative technologies, launch new businesses, inform evidence-based policy, drive cleaner energy practices, and build healthier communities.

CFI Infrastructure Funding

On October 12, the federal government announced [\\$18.9 million in infrastructure funding](#) from the Canadian Foundation for Innovation for six U of A research projects. The research projects span science, engineering, and medicine and the health sciences.

ENGAGE

Naylor Report Advocacy

In cooperation with Universities Canada and the U15, we are continuing to advocate for the [Naylor Report](#) recommendations. To this end, I participated in a series of advocacy meetings with Universities Canada on Parliament Hill at the end of October. I also recently co-authored two op-eds—the [first](#) with Marina Banister, and the [second](#) with Elizabeth Cannon and Mike Mahon.

I will continue to personally engage in several communications and advocacy initiatives over the coming months. I invite you to also share broadly the value and benefits of basic research.

Helmholtz Delegation Visit

In late September, the U of A hosted a delegation from the Helmholtz Association of Research Institutes. The Helmholtz-Alberta Initiative has been a key partnership, engaging 273 U of A researchers and 63 total graduate students on 46 distinct projects. The partnership also played an important role in establishing the \$75 million Future Energy Systems research initiative. The delegation visit provided an opportunity to deepen and extend Helmholtz-Alberta collaboration.

U of A's United Way Campaign

During the U of A's [2017 campaign](#), which ran from October 11-27, our community raised **more than \$470,000** for the United Way. Thank you for your generous contributions.

Each year, many donations come in during November and December, after the campaign period. If you have not yet made a donation, it is not too late—please consider giving to the [United Way](#).

Engaging Alumni

Meeting of Indigenous Alumni

From October 18-20, the U of A hosted a gathering of Indigenous alumni, which brought 24 former students back to campus. Over the three days, the group began preliminary discussions on developing a council of Indigenous alumni to advise the university as we work towards reconciliation. The alumni are meeting to continue the discussion this December.

Governors Emeriti Luncheon

At the end of October, we hosted the inaugural meeting of the Board Governors Emeritus Members (GEM) on North Campus. GEM aims to keep members engaged with the university after they retire from the board, so they can be ambassadors and advocates for the University of Alberta.

SUSTAIN

Objective 22: Financial Sustainability Initiatives

To achieve the ambitious aspirations to advance teaching, learning, and research outlined in *For the Public Good*, the University of Alberta must stand on a strong financial and operational foundation.

As we committed in Objective 22, we are now in the process of addressing some key financial issues and developing the financial planning tools and processes we need to use our resources to maximum effect and build the capacity to invest in our priorities.

These were the subject of [two recent posts](#) on *The Quad*, as well as a [campus forum](#).

Many initiatives are in play with related but different outcomes:

1. Eliminate a structural deficit in the operating budget, and reduce our reliance on investment income to support ongoing base expenditures.
2. Implement a new multi-year budget planning and accountability process to enhance the ability of the university, faculties, and administrative units to plan for the future.
3. Develop tools, including a UAlberta-specific budget model, which will help to ensure effective alignment between core academic activities and the allocation of resources and put us in position to achieve our strategic priorities.

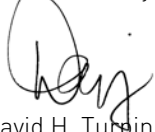
Successful implementation of these initiatives will ideally lead to the following benefits:

- Alignment of our strategic academic activities and priorities with the allocation of resources
- Long-term financial sustainability
- Transparency and simplicity to budgeting and strategic planning processes
- Predictable and equitable distribution of resources and costs
- More effective and sustainable use of resources

For more information, I encourage you to explore our [Financial Sustainability](#) webpages.

Thank you for your continued dedication to the University of Alberta.

Yours sincerely,



David H. Turpin, CM, LLD, FRSC
President and Vice-Chancellor



Meeting of November 27, 2017

MOTION I: TO APPOINT *[This motion may be proposed only by statutory members of GFC]:*

The following graduate student representatives, to serve on GFC for terms commencing immediately and ending April 30, 2018:

Linzy Bohn	Faculty Arts/Science (Psychology)
Erica Chang	Faculty of Medicine and Dentistry
Heidi Cossey	Faculty of Engineering
Gautam Gaur	Faculty of Agricultural, Life and Environmental Sciences

OUTLINE OF ISSUE
Discussion, Information Item

Agenda Title: Renewal of the Undergraduate Nursing Curriculum, Faculty of Nursing

Item

Proposed by	Greta Cummings, Dean, Faculty of Nursing
Presenter	Greta Cummings, Dean; Olive Yonge, Vice-Dean; Sandra Davidson, Associate Dean (Undergraduate Programs), Faculty of Nursing

Details

Responsibility	Provost and Vice-President (Academic)
The Purpose of the item is (please be specific)	<p>To discuss the curriculum renewal project which used a Development Evaluation framework and the resulting changes to the undergraduate nursing program.</p> <p>The proposal for substantive changes to the Undergraduate Nursing Curriculum was considered and approved by the GFC Academic Planning Committee, with delegated authority from GFC, on October 25, 2017. Final approved documents</p> <p>The proposal was also considered by the GFC Academic Standards Committee with respect to admission/transfer and academic standing, and the GFC Committee on the Learning Environment with respect to promoting an optimal learning environment.</p>
Timeline/Implementation Date	Fall 2018
Supplementary Notes and context	<p>The program changes will allow the Faculty of Nursing to deliver an enhanced undergraduate experience to our students. Specific enhancements that will benefit students include:</p> <ul style="list-style-type: none"> ○ Programs are constructed using concept-based teaching & learning approaches, learner-centered education principles, relationship-centered care and intentional clinical learning experiences (deliberate practice) ○ Major enhancements in amount and type of leadership courses (increasing from 1 leadership course to 4 courses), including a 9 credit senior clinical leadership practicum in the 4th year ○ Specific focus on developing stress management and resiliency through the integration of formal evidence-based Mindfulness-Based Stress Reduction (MBSR) components and strategies for student success ○ Clearer and closer connections between classroom, lab and clinical learning experiences (conceptually and timing of experiences) – based on evidence and best practices ○ Integration of a Community Service Learning course early in the program, and other opportunities to engage in clinical experiences earlier in the programs (starting in 1st semester) ○ Purposeful integration of healthcare informatics and technology that reflects current and emerging practice in healthcare ○ Inter-professional learning experiences embedded throughout the program in addition to a leadership course focused on the application of Inter-professional healthcare competencies ○ Integration of the <i>Indigenous Health in Canada</i> course – in

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	<ul style="list-style-type: none"> ○ response to the TRC recommendations for health disciplines ○ Academic standing and admissions policies include a minimum pass (C+) standard for key foundational courses that will ensure students have the knowledge necessary for success in higher level clinical courses ○ Additional and enhanced clinical experiences (increased hours of clinical practice) as well as the use of a wider range of practice settings that more accurately reflect the current and future practice settings of Registered Nurses ○ Purposeful engagement with and integration of the programs of research of our faculty members ~ leveraging our strength as a top ranked research Faculty to enhance our undergraduate student experience <p>Starting Fall of 2018, the Undergraduate Nursing Programs will offer the new courses and a new course sequence for all incoming students.</p> <p>Because of the significant enhancements and clear student benefits, we have created a proposed cross-walk plan for students who entered our programs in the Fall of 2017 to move into year two of the new programs in the Fall of 2018 so that they can also have the benefits of the program changes for the remainder of their undergraduate education.</p>
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Engagement and Routing (Include meeting dates)

Participation:	<p>GFC Committee on the Learning Environment – October 4, 2017 GFC Academic Standards Committee – October 19, 2017 GFC Academic Planning Committee – October 25, 2017</p> <p>(full consultation route for the proposal can be found with APC final documents, October 25, 2017)</p>
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Alignment/Compliance

Alignment with Guiding Documents	<p>For the Public Good EXCEL as individuals, and together, sustain a culture that fosters and champions distinction and distinctiveness in teaching, learning, research, and service. Objective 14: Inspire, model and support excellence in teaching and learning. Strategy i: Foster, encourage, and support innovation and experimentation in curriculum development, teaching, and learning at the individual, unit, and institutional levels.</p>
Compliance with Legislation, Policy and/or Procedure Relevant to the Proposal (please quote legislation and include identifying section numbers)	<p>Post-Secondary Learning Act “26(1) Subject to the authority of the board, a general faculties council is responsible for the academic affairs of the university</p>

OUTLINE OF ISSUE
Action Item

Agenda Title: **Proposal to Waive English Language Proficiency Requirement for the Master of Financial Management (MFM) and the Master of Business Administration (MBA) programs delivered in Mandarin by the Alberta School of Business, Faculty of Graduate Studies and Research**

Motion: THAT General Faculties Council approve the proposed waiver of the English Language Proficiency requirement for the Master of Financial Management (MFM) and the Master of Business Administration (MBA) programs delivered in Mandarin by the Alberta School of Business, as recommended by the GFC Academic Standards Committee, and as set forth in Attachment 2, to take effect upon approval.

Item

Action Requested	<input checked="" type="checkbox"/> Approval <input type="checkbox"/> Recommendation
Proposed by	Heather Zwicker, Dean and Vice Provost, Faculty of Graduate Studies and Research Joseph Doucet, Dean, Alberta School of Business
Presenter	Michael Maier, Associate Dean, Master's Programs, Alberta School of Business Debby Burshtyn, Vice Dean, Faculty of Graduate Studies and Research Tammy Hopper, Chair, GFC Academic Standards Committee

Details

Responsibility	Provost and Vice-President (Academic)
The Purpose of the Proposal is (please be specific)	To allow the Alberta School of Business to waive the English Language Proficiency (ELP) requirement which will enable them to offer a degree where the language of instruction is in Mandarin without determining the English Language Proficiency of the applicants.
The Impact of the Proposal is	The benefits of Mandarin delivery of the MFM and MBA programs in China would create the following benefits to the School and the University: <ul style="list-style-type: none"> • Enhanced global reach and branding of the School; • Greater effectiveness in attracting quality international students; • Enhanced learning experience for students in their native language; • Internationalization of School culture and student experience; • Internationalization and expansion of alumni network; and • Increased potential for external development.
Replaces/Revises (eg, policies, resolutions)	n/a
Timeline/Implementation Date	Effective upon final approval and for publication in the 2018-2019 Calendar. If approved, the waiving of the ELP requirement would apply to applicants to the MFM (in Mandarin) and the MBA (in Mandarin) for 2018 admission.
Estimated Cost and funding source	n/a
Next Steps (ie.: Communications Plan, Implementation plans)	
Supplementary Notes and context	In 2014 the Alberta School of Business started offering a Master of Financial Management (MFM) degree in Shenzhen, China. This degree is offered in partnership with Xi'an Jiaotong University (XJTU) and the Research Institute of Tsinghua University) and is taught in English. The partnership agreement between UA and XJTU contemplated that the

	<p>degree could be offered in Mandarin in the future.</p> <p>Given the success of our program in Shenzhen, we want to expand the MFM degree to Shanghai and offer an MBA degree in Shenzhen. Both of the programs will be delivered in Mandarin. Instructors from our partner universities (XJTU and Tsinghua) will be utilized for part of the instruction with simultaneous translation being used for courses taught by our English-speaking instructors.</p> <p>Program standards conform with our existing degrees as well as the Government of Alberta guidelines for Off-Shore Program Delivery. In addition, as the first and longest continuously AACSB accredited business school in Canada this program will be subject to external review as well as our internal Quality Assurance processes mandated by CAQC.</p> <p>----</p> <p>The GFC Academic Standards Committee (ASC) decided not to act with its delegated authority on this item, and forwards it to General Faculties Council with a recommendation for GFC to approve the proposal.</p> <p>During its discussion, ASC noted that it is prudent that GFC consider the following:</p> <ul style="list-style-type: none"> - the context of the proposal – the waiver is specific to graduate programs in the Alberta School of Business, and only when these programs are approved to be offered in a language other than English - proficiency in the language of instruction is required - that this proposal is for delivery in a country where the local language of instruction is not English - the proposal, which ASC supports, could set a precedent for waiving ELP when delivering programs in international contexts
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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>
	<p><u><i>Those who have been consulted:</i></u></p> <ul style="list-style-type: none"> • Steven Dew, Provost and Vice-President (Academic) • Heather Zwicker, Dean FGSR • Amy Dambrowitz, Assistant Dean (Administration) FGSR • Thomas Hidson, Assistant Registrar (Records), Office of the Registrar has confirmed that the transcript can designate that the language of instruction is in Mandarin. • Danielle Scott, Assistant Director (International Relations) UAI has reviewed the agreements between UA and our international partner institutions and provided feedback to ensure compliance with existing UA policy standards.

	<p><u><i>Those who are actively participating:</i></u></p> <ul style="list-style-type: none"> • Michael Maier, Associate Dean, Master’s Programs, Alberta School of Business (ASOB) • Edy Wong, Associate Dean/International, ASOB • Stefanie Claro, International Partnerships Coordinator, ASOB • Chris Lynch, Senior Director, Recruitment, Admissions & Marketing, Master's Programs, ASOB • Janice Hurlburt, Governance and Policy Coordinator FGSR • Deborah Burshtyn, Vice-Dean FGSR • Tammy Hopper, Vice-Provost (Programs), Office of the Provost and Vice-President (Academic) confirmed on July 5, 2017 that the Provost has approved the offering of the program in a language other than English and that the language of instruction may be identified on the transcript. • Kate Peters, Portfolio Initiatives Manager, Office of the Provost and Vice-President (Academic)
<p>Approval Route (Governance) (including meeting dates)</p>	<p>Alberta School of Business Graduate Students Policy Committee -- August 17, 2017 Alberta School of Business Faculty Council -- September 1, 2017 FGSR Council – September 13, 2017 GFC ASC Subcommittee on Standards – October 5, 2017 GFC Academic Standards Committee – October 19, 2017 GFC Executive Committee – November 20, 2017 General Faculties Council – November 27, 2017</p>
<p>Final Approver</p>	<p>General Faculties Council</p>

Alignment/Compliance

<p>Alignment with Guiding Documents</p>	<p>Institutional Strategic Plan - <i>For the Public Good</i></p> <p>BUILD GOAL: Build a diverse, inclusive community of exceptional students, faculty and staff from Alberta, Canada, and the world. OBJECTIVE 1: Build a diverse, inclusive community of exceptional undergraduate and graduate students from Edmonton, Alberta, Canada, and the world. iii. Optimize our international recruiting strategies to attract well-qualified international students from regions of strategic importance, and enhance services and programs to ensure their academic success and integration into the activities of the university.</p> <p>ENGAGE GOAL: Engage communities across our campuses, city and region, province, nation and the world to create reciprocal, mutually beneficial learning experiences, research projects, partnerships, and collaborations. OBJECTIVE 18: Seek, build, strengthen and sustain partnerships with local, national or international research agencies, governments, government ministries and agencies, universities, Indigenous communities, libraries, not-for-profits, industry, business, and community organizations. iii. Encourage municipal, provincial, national, and international collaborations, partnerships, and MOUs at institutional, faculty, department, unit, and individual levels.</p>
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<p>Compliance with Legislation, Policy and/or Procedure Relevant to the Proposal (please <u>quote</u> legislation and include identifying section numbers)</p>	<p>1. Post-Secondary Learning Act (PSLA): The <i>PSLA</i> gives GFC responsibility, subject to the authority of the Board of Governors, over academic affairs (Section 26(1)). Further, the <i>PSLA</i> gives the Board of Governors authority over certain admission requirements and rules respecting enrolment (Section 60(1)(c) and (d)). The Board has delegated its authority over admissions requirements and rules respecting enrolment to GFC. GFC has thus established an Academic Standards Committee (ASC).</p> <p>2. PSLA: The PSLA gives Faculty Councils power to “provide for the admission of students to the faculty” (29(1)(c)).</p> <p>3. UAPPOL Admissions Policy: “Admission to the University of Alberta is based on documented academic criteria established by individual Faculties and approved by GFC. This criteria may be defined in areas such as subject requirements, minimum entrance averages, and language proficiency requirements. In addition to academic requirements for admission, GFC authorizes each Faculty to establish such other reasonable criteria for admission of applicants as the Faculty may consider appropriate to its programs of study, subject to the approval of GFC (e.g. interview, audition, portfolio, etc.) The admission requirements for any Faculty will be those approved by GFC as set forth in the current edition of the University Calendar. In addition to the admission requirements, selection criteria for quota programs, where they exist, will also be published in the current edition of the University Calendar. The responsibility for admission decisions will be vested in the Faculty Admission Committees or in the Deans of the respective Faculties, as the councils of such Faculties will determine.”</p> <p>2. UAPPOL Admissions Procedure: “PROCEDURE</p> <p>1. EFFECTIVE DATE OF CHANGES TO ADMISSION REGULATIONS Following approval by GFC:</p> <p>a. Where changes to admission regulations may disadvantage students in the current admission cycle, normally implementation will be effective after the change has been published in the University Calendar for one full year (i.e., effective the second year that the information is published in the University Calendar). For example, a change approved in May 2005 would be first published in the 2006-2007 University Calendar in March 2006. Therefore the statement cannot come into effect until September 2007 (affecting applicants who apply for the September 2007 term beginning July 2006).</p> <p>b. Where changes to admission regulations are deemed by the approving body to be ‘advantageous to students’, normally the date of implementation will be effective immediately or at the next available intake for the admitting Faculty.”</p> <p>3. GFC Academic Standards Committee (ASC) Terms of Reference “3 B. Admission and Transfer, Academic Standing, Marking and Grading, Term Work, Examinations, International Baccalaureate (IB), Advanced Placement (AP)</p> <p>i. All proposals from the Faculties or the Administration related to</p>
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	<p>admission and transfer, to the academic standing of students, to institutional marking and grading policies and/or procedures and to term work policies and procedures are submitted to the Provost and Vice-President (Academic) (or delegate) who chairs the GFC Academic Standards Committee. ASC will consult as necessary with the Faculties and with other individuals and offices in its consideration of these proposals.</p> <p>ii. ASC acts for GFC in approving routine and/or editorial changes to both admission/transfer policies and academic standing regulations...”</p> <p>4. GFC Executive Committee</p> <p>“GFC has delegated to the Executive Committee the authority to decide which items are placed on a GFC agenda, and the order in which those agenda items appear on each GFC agenda.</p> <p>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.</p> <p>[...] the role of the Executive Committee shall be to examine and debate the substance of reports or recommendations and decide if an item is ready to be forwarded to the full governing body. The Executive Committee may decide to refer a proposal back 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. “</p>
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Attachments (each to be numbered 1 - 2)

1. Background information/briefing note (page(s) 1 - 2)
2. Calendar change request

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

Alberta School of Business

Rationale for Mandarin Language Delivery

Business schools in today's global environment face two challenges. The first is internationalization of their curricula and the other is globalization of its brand and reputation. Both of these challenges entail engagement in international activities to enable student acquisition of international experience and exposure through global partnerships. Like other faculties, business schools must be mindful of international developments and how they may impact on our curriculum, reputational and recruitment efforts. There is however one development that affects business schools most immediately.

Business schools are vulnerable to certain global education trends because of the nature of business education. Economic growth and development usually augments the demand for business education in an exponentially fashion. The rapid growth in the Middle East and Asia have led to increased demand for MBA and other business related master programs and made them popular degrees for overseas delivery by Western universities. Consequently, overseas degree delivery, either stand-alone or joint programs with local institutions, has become a popular vehicle for Western business to cultivate a global reputation, compete for quality students and create additional revenues in recent years. This trend has led to the emergence of education hubs in the Middle East and Asia where foreign and local universities have set up branch campuses as an alternative to programs offered in the West. Today, China is the largest host country to foreign branch campuses¹ and has joined India and South Korea, along with many Western universities, in establishing branch campuses abroad². Indeed, China and Japan have begun to compete for international students with regional education HUBs such as Dubai, Malaysia, and Singapore in recent years³. One of China's strategies is to utilize foreign programs in China to attract international students who may be averse to enrolling in a domestic Chinese institution.

Developments in China are of particular interest to the Alberta School of Business as it has been an important driver of our international initiatives since 1984. China is not only the largest source of international students for the University of Alberta; it

¹ SI News, *China is now home to the most international branch campuses in the world – report*, Nov 2016, <https://www.studyinternational.com/news/china-is-now-home-to-the-most-international-branch-campuses-in-the-world-report/>

² <http://monitor.icef.com/2014/09/oecd-releases-detailed-study-global-education-trends-2014/>

³ SI News, *South Korea: Gov't promotes overseas expansion in higher education*, April 12, 2016; <http://studyinternational.com/news/south-korea-govt-promotes-overseas-expansion-in-higher-education/>

is also a crucial new source of trade and investment for Alberta. The rising economic influence of China and the growing demand for Western education by Chinese students have made China a central strategic consideration for any globally minded business schools.

The School's decision to offer the Master of Financial Management (MFM) in China was driven by our desire to create a global brand, internationalize the School culture, globalize the learning experience for our Canadian students (through study tours and in-country delivery of regular program classes in China), and to create an extra revenue stream. China is an indispensable element of the School's internationalization strategy.

However, in order to capitalize on the growing reputation the MFM program has created for the School and to create long-term viability through economies of scale, an expansion of program activities is called for. Efficiency in operations, student recruitment and curriculum development requires certain critical mass that does not currently exist. Market research suggests that Mandarin language delivery of the MFM or an MBA program would allow the School to penetrate a very large market of senior executives or managers who are outside of our existing target market because of the English language requirement. In addition, by teaching courses in the native language we believe that learning outcomes will be enhanced. Inclusion of this market segment would allow the School to also expand its external and alumni development activities in China over time.

All programs in the Alberta School of Business are subject to both our external accreditation (AACSB) as well as internal quality assurance processes. Our last AACSB report (2015) gave our programs high marks in ensuring quality program delivery. The new programs in China will also be subject to these same reviews.

The Alberta School of Business consulted with Brent Epperson, Graduate Ombudsperson regarding the procedures for academic misconduct. The existing code of student behaviour will be translated into Mandarin.

In summary, the benefits of Mandarin delivery of the MFM and MBA programs in China would create the following benefits to the School and the University:

- Long-term economic viability of MFM (China) program;
- Enhanced global reach and branding of the School;
- Greater effectiveness in attracting quality international students;
- Enhanced learning experience for students in their native language;
- Internationalization of School culture and student experience;
- Additional revenue source in a fiscally challenged environment;
- Internationalization and expansion of alumni network; and
- Increased potential for external development.

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

March 30, 2017

2018-2019 University of Alberta Proposed Calendar Graduate Program Changes: Alberta School of Business admission requirement change to waive ELP for programs taught in Chinese in China (and addition of Master of Accounting).

Current	Proposed
<p>Graduate Programs</p> <p>Business [Graduate]</p> <p>General Information [...]</p> <p>Entrance Requirements The minimum admission requirements of the Faculty of Business are those of the Faculty of Graduate Studies and Research; namely, an undergraduate degree with an average of at least 3.0 in the last two years of undergraduate work (or graduate work) at the University of Alberta, or an equivalent qualification from a recognized institution.</p> <p>All applicants are required to write the Graduate Management Admission Test, and have their scores forwarded to the appropriate individual (i.e., Associate Dean – MBA Programs; or the Director – PhD Program; Faculty of Business). For the latest GMAT information visit www.mba.com. Although no arbitrary standard is employed, a score above 550 is desirable for the MBA program and a score above the 90th percentile is desirable for the PhD program.</p> <p>In addition to the above requirements, all students must demonstrate English language proficiency prior to admission as described in English Language Requirement.</p> <p>Additional entrance requirements are listed below, under the heading of the specific degree program.</p>	<p>Graduate Programs</p> <p>Business [Graduate]</p> <p>General Information [...]</p> <p>Entrance Requirements The minimum admission requirements of the Faculty of Business are those of the Faculty of Graduate Studies and Research; namely, an undergraduate degree with an average of at least 3.0 in the last two years of undergraduate work (or graduate work) at the University of Alberta, or an equivalent qualification from a recognized institution.</p> <p>All applicants are required to write the Graduate Management Admission Test, and have their scores forwarded to the appropriate individual (i.e., Associate Dean – MBA Programs; or the Director – PhD Program; Faculty of Business). For the latest GMAT information visit www.mba.com. Although no arbitrary standard is employed, a score above 550 is desirable for the MBA program and a score above the 90th percentile is desirable for the PhD program.</p> <p>In addition to the above requirements, all students must demonstrate English language proficiency prior to admission as described in English Language Requirement. Where degree programs offered by the Faculty of Business are approved to be delivered in a language other than English, the English language proficiency requirement may be waived.</p> <p>Additional entrance requirements are listed below, under the heading of the specific degree program.</p>

Justification: We will be delivering the MBA and MFM degree programs in China in the Mandarin language. The Provost has approved the offering of the program in a language other than English.

All students may not have proficiency in the English language. This change to the calendar will allow the University to offer such a degree.

Approved by: Alberta School of Business Graduate Students Policy Committee (August 17, 2017); Alberta School of Business Faculty Council (September 1, 2017)

Question from GFC Member Dilini Vethanayagam (submitted by email October 29, 2017)

Is the U of A developing industry policies related to accepting research dollars with regards to marijuana (similar to tobacco companies)? Inhaled marijuana in particular?

The development of the legalization of marijuana may appear to be a lucrative process that many will explore, however there are also significant negative impacts of use and promotion on campus (public health as well as personal health).

As such, policies in general, and also review of conflicts of interest, need be addressed from an institutional level.

Let me know if you want more informational documents on this issue.

Response from Provost and Vice-President (Academic)

The University of Alberta has formed a working group to consider the impacts of the legalization of recreational cannabis on our institution.

The working group is being co-led by Risk Management Services and the Office of the Dean of Students. The working group will work closely with an advisory group representing 21 affected university units (and others that may be identified), including the Office of the Vice-President (Research).

The working group will be considering, among other things, what policies will be necessary to manage the impact the legislation will have on health and safety, research, student success, and institutional reputation.

The working group has only begun meeting recently, but intends to deliver a set of recommendations to senior administration by spring.

General Faculties Council Standing Committee Report

GFC Executive Committee

1. Since the last GFC meeting, the Executive Committee met on November 20, 2017.

2. Items Approved Under Delegated Authority

Changes to Faculty Council Composition - Faculty of Medicine and Dentistry

New Course Designator of KRLS, Faculty of Kinesiology, Sport, and Recreation

Agenda for the November 27, 2017 Meeting of General Faculties Council

3. Items Recommended to GFC

Proposal to Waive English Language Proficiency Requirement for the Master of Financial Management (MFM) and the Master of Business Administration (MBA) programs delivered in Mandarin by the Alberta School of Business, Faculty of Graduate Studies and Research

4. Items that the Committee Discussed or Advised on

General Appeals Committee (GAC) Annual Report to General Faculties Council (July 1, 2016 - June 30, 2017)

Annual Report of the Residence Discipline Statistics: 2016-2017

Student Conduct and Accountability Annual Statistical Report

Annual Report of the Appeals and Compliance Officer (2016-2017)

Joint Board / GFC / Senate Summit

Early Consultation: Experiential Learning

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

General Faculties Council Standing Committee Report

GFC Academic Planning Committee

1. Since last reporting to GFC, the Academic Planning Committee met on November 8, and November 29, 2017, and is also reporting on activities of the meeting of October 25, 2017

2. Items Approved under Delegated Authority on October 25, 2017

Substantive revisions to the curriculum of the Master of Public Health (MPH) in the School of Public Health, Faculty of Graduate Studies & Research

Substantive Changes to the Undergraduate Nursing Curriculum, Faculty of Nursing

Items Approved under Delegated Authority on November 8, 2017

Proposal from the Faculty of Graduate Studies & Research for a New course-based MA in History of Art, Design and Visual Cultural (HADVC), Department of Art and Design

Proposal from the Faculty of Graduate Studies & Research for a new combined MSc in Physical Therapy/PhD in Rehabilitation Science (MScPT/PhD) program, Department of Physical Therapy and the Faculty of Rehabilitation Medicine

3. Items the Committee Discussed or Advised On

Update on the Budget – Planning Framework

2016-17 Mandatory Non-Instructional Fees (MNIFs) Annual Report

GFC Academic Planning Committee Terms of Reference

Terms of reference and records of meeting for this committee can be found at:

<http://www.governance.ualberta.ca/GeneralFacultiesCouncil/AcademicPlanningCommittee.aspx>

Submitted by:
Steven Dew
Chair, GFC Academic Planning Committee

General Faculties Council Standing Committee Report

GFC Academic Standards Committee

1. Since the last GFC meeting, the GFC Academic Standards Committee met on November 16, 2017.

2. Items Approved under Delegated Authority from GFC

Office of the Registrar: Approval of Transfer Credits for November 2017

Faculty of Graduate Studies and Research: Proposed Changes to Existing Application Deadlines for Medical Sciences MSc and PhD programs offered through the Department of Dentistry

Faculty of Graduate Studies and Research: Proposed Changes to Existing Application Deadlines, Physical Education and Recreation Graduate Programs

Faculty of Engineering: Proposed Changes to Existing Regulations for Missed Term and Final Exams

Faculty of Law: Proposed Changes to Existing Application Procedures

Proposed Changes to Existing Admission and Readmission Regulations, MD Program, Faculty of Medicine and Dentistry

Proposed changes to Admission Requirements, BSc Honors in Nutrition, Faculty of Agricultural, Life and Environmental Sciences

Proposed Changes to existing Entrance Requirements for the Master's and PhD programs in Physical Education, Sport and Recreation, as proposed by the Faculty of Graduate Studies and Research

Proposed Changes to existing Entrance Requirements for Medical Sciences PhD programs in Periodontology and in Orthodontics, and Medical Sciences MSc program in Orthodontics, offered through the Department of Dentistry, Faculty of Graduate Studies and Research

Faculté Saint-Jean: Proposed changes to existing Academic Standing Requirement (probation)

Proposed Changes to Admission and Academic Regulations, BSc in Radiation Therapy, Faculty of Medicine and Dentistry

3. Items Discussed

External Programs for Review and Programs in Progress on Campus: Standing Item

Terms of reference and records of meeting for this committee can be found at:

<http://www.governance.ualberta.ca/GeneralFacultiesCouncil/AcademicStandardsCommittee.aspx>

Submitted by:

Tammy Hopper, Chair

Academic Standards Committee



SEARCH AND REVIEW COMMITTEES

Presidential/Vice-Presidential/Decanal Search and Review Committees are regularly established at the University of Alberta. General Faculties Council (GFC) is called upon to arrange for the election of staff representatives from at-large to fill positions on approved search/review committee compositions in accordance to the policies and procedure within the Recruitment Policy (in UAPPOL).

It's regular practice by GFC to broadly distribute nomination calls to the relevant constituencies (academic staff, non-academic staff, public members) in order to raise awareness and encourage nominations and/or expressions of interest from eligible nominees. When an election is required to declare a final nominee(s), GFC serves as the delegated electorate as specified within the relevant selection/review procedures.

RECENT COMMITTEE POSITION/S FILLED

2017-18 Selection Committee for Vice-Provost (Learning Services) and Chief Librarian

October 31, 2017 – a campus-wide call for academic staff nominations resulted in a single nominee. The following individual has been declared elected by acclamation to serve as one of three (3) members of the academic staff (Categories A1.1 or A1.5), one from each of the Tri-Council granting agencies areas, as indicated within Section 10 (f.) of the "Faculty Deans Selection Procedure" (Appendix A: Dean Selection Committees for Individual Faculties).

Professor Christopher Lupke (Faculty of Arts)

View Related Links for Updates and Details:

[Office of the Provost - Deans Selections and Reviews](#)
[Nominations and Elections \(General Faculties Council\)](#)

FOR THE GFC MEETING OF NOVEMBER 27, 2017

I am pleased to report on the following highlights of the Board of Governors' Open Session meeting held on October 20, 2017:

COMMENTS FROM THE CHAIR

The Board Chair welcomed elder Elmer Ghostkeeper, who provided some opening comments and then invited members to participate in a smudge.

REPORT OF THE PRESIDENT

The President provided a written report on his activities since June 23, 2017, including updates on the five strategic goals of *For the Public Good*: build; experience; excel; engage; and sustain. In addition to his written report, Dr Turpin provided verbal remarks on: the status of mental health funding, other funding initiatives, and the tuition review; the federal government's Innovation Superclusters Initiative, whose shortlist of nine applicants include five with strong ties to the University of Alberta; and an update on the advocacy work surrounding the Naylor Report. At the suggestion of the Board Chair, the President agreed that a demonstration of the Board's support would be beneficial, and the Board approved a motion authorizing the Board Chair to write to Alberta Members of Parliament; The Honorable Kirsty Duncan, Minister of Science; and The Honorable Marlin Schmidt, Minister of Advanced Education, to demonstrate the Board's strong support for the Fundamental Science Review (commonly known as the Naylor Report) and endorse the implementation of its recommendations.

At the request of the Board Chair and Mr Owen Tobert, Chair of the Board Finance and Property Committee, Mr James Allen, Associate Vice-President (Operations and Maintenance), provided the Board with a "Learning Moment" presentation on deferred maintenance.

BOARD OF GOVERNORS' MOTION SUMMARY

On the recommendation of the Board Finance and Property Committee and General Faculties Council, the Board of Governors approved the Budget Model Principles, to take effect upon final approval.

On the recommendation of the Board Finance and Property Committee, the Board of Governors approved:

- proposed changes to the Committee's Terms of Reference
- proposed revisions to the Real Property Compliance Policy, to take effect upon final approval.

On the recommendation of the Board Learning and Discovery Committee and General Faculties Council, the Board of Governors approved the termination of the Augustana Bachelor of Music Liturgical Arts Major and the Bachelor of Music Musical Arts Major, as proposed by Augustana Faculty, to take effect upon final approval.

The Board of Governors approved the revised *The Governors of The University of Alberta Mandate and Roles Document* for submission to the Ministry of Advanced Education.

On the recommendation of Board Chair Michael Phair, the Board of Governors approved:

- the addition of Marina Banister to the proposed membership for the Board of Governors' Working Group
- the establishment of a Board of Governors' Working Group in response to action arising from the 2017 Board of Governors' Strategic Retreat.

INFORMATION REPORTS

- Report of the Audit Committee
 - Appointment of Ms Dominique Grégoire as Committee Vice-Chair
 - Restructuring of Audit and Analysis Portfolio (including revisions to the Internal Audit Activity Charter)
 - Scope of Internal Audit Plan (Annual Plan)
 - Update on Risk-Based Internal Audit Plan
 - Management's Quarterly Compliance Certificate
 - Management's Quarterly Information and Privacy Office Compliance Certificate
 - 2017-18 Committee Workplan (with Terms of Reference)

- Management's Quarterly Financial Statements and Review (including current accounting and financial reporting issues)
- University of Alberta Preparedness for a Phishing Attack
- Institutional Risk Summary Update
- External Auditor's Audit Plan
- Report of the Finance and Property Committee
 - Project Management Office - Quarterly Status Report
 - Functional Naming – Evergreen Pond and The Circle
 - Appointment of Mr Dick Wilson as Committee Vice-Chair
 - Learning Moment: Deferred Maintenance
 - 2017-18 Committee Workplan
 - Tuition Briefing
 - Quarterly Financial Review
- Report of the Human Resources and Compensation Committee
 - Appointment of Ms Lynn Parish as Committee Vice-Chair
 - Position Descriptions for the Deans of Business, Public Health, and Rehabilitation Medicine
 - 2017-18 Committee Workplan (with Terms of Reference)
 - Presentation by and Discussion with President of Non-Academic Staff Association (NASA)
 - Presentation by and Discussion with President of Association of Academic Staff: University of Alberta (AASUA)
 - Update on Transition of Postdoctoral Fellows to Employee Status
 - Trends in Benefits (including reporting on academic and support staff benefit committee summaries)
- Report of the Investment Committee
 - Portfolio Performance and Compliance – June 30, 2017
 - Board Investment Committee Composition
 - CAUBO Endowment Survey – December 31, 2016
 - Conflict of Interest Disclosure – Investments & Treasury
 - Board Investment Committee Terms of Reference – Annual Review
 - Investment Proposals
 - Growth – Private Equity Strategy Progress Report
 - Inflation Sensitive – Commodities Search Progress Report
 - Performance Measurement Service Provider & Custodial Bank Progress Report
- Report of the Learning and Discovery Committee
 - Appointment of Ms Lynne Paradis as Committee Vice-Chair
 - 2017-18 Committee Workplan (with Terms of Reference)
 - Report from the Provost and Vice-President (Academic)
 - Report from the Vice-President (Research)
 - Students' Union Executive Goals 2017-2018
 - Graduate Students' Association (GSA) Board Strategic Work Plan 2017-2018
 - Goals from the Postdoctoral Fellows Association
- Report of the Safety, Health and Environment Committee
 - Dashboard Review
 - Strategic Initiative: Develop an Environment, Health and Safety Committee Structure across Campus
 - Memo from the Associate Vice-President (Risk Management Services) and the Associate Vice-President (Operations and Maintenance)
 - Memo from the Vice-Provost and Dean of Students
 - Second Quarter Health and Safety Indicator Report
 - Safety Moment: A Tale of Two Hazards
 - 2017-18 Committee Workplan (with Terms of Reference)

The Board also received reports from the Chancellor, Alumni Association, Students' Union, Graduate Students' Association (including 2016-17 Financial Statements), Association of Academic Staff of the University of Alberta, Non-Academic Staff Association, General Faculties Council, and the Board Chair.

Prepared for: Katherine Binhammer, GFC Representative on the Board of Governors
By: Erin Plume, Assistant Board Secretary

Please note: official minutes from the open session of the October 20, 2017 Board of Governors' meeting will be posted on the University Governance website once approved by the Board at its December 15, 2017 meeting: www.governance.ualberta.ca/BoardofGovernors/Board/BoardMinutes.aspx.

OUTLINE OF ISSUE
Advice, Discussion, Information Item

Agenda Title: **General Appeals Committee (GAC) Annual Report to General Faculties Council (July 1, 2016 – June 30, 2017)**

Item

Proposed by	David Johnson, Special Advisor, Faculty and Staff Relations
Presenter	David Johnson, Special Advisor, Faculty and Staff Relations

Details

Responsibility	Provost and Vice-President (Academic)
The Purpose of the item is (please be specific)	To comply with GFC-legislated reporting requirements
Timeline/Implementation Date	N/A
Supplementary Notes and context	N/A

Engagement and Routing (Include meeting dates)

Participation: (parties who have seen the proposal and in what capacity) <For further information see the link posted on the Governance Toolkit section Student Participation Protocol >	<u>Those who have been informed:</u> <ul style="list-style-type: none"> GFC Executive Committee – November 20, 2017 General Faculties Council - November 27, 2017
	<u>Those who have been consulted:</u> <ul style="list-style-type: none"> N/A
	<u>Those who are actively participating:</u> <ul style="list-style-type: none"> N/A

Alignment/Compliance

Alignment with Guiding Documents	Institutional Strategic Plan - <i>For the Public Good</i> - Goal of Excel: “Excel as individuals, and together, sustain a culture that fosters and champions distinction and distinctiveness in teaching, learning, research, and service.”
Compliance with Legislation, Policy and/or Procedure Relevant to the Proposal (please <u>quote</u> legislation and include identifying section numbers)	<ol style="list-style-type: none"> Post-Secondary Learning Act (PSLA): The <i>Post-Secondary Learning Act (PSLA)</i> gives GFC responsibility, subject to the authority of the Board of Governors, over academic affairs (Section 26(1)). GFC Policy Manual: GFC requests that the GAC report annually to Council (Section 56.2 (<i>General Appeals Committee</i>) of the GFC Policy Manual). The GAC is a committee established under Section 15 of the Board/AASUA Agreement (Faculty) and, until 1977, was a GFC committee. Currently, it is one of several non-GFC committees requested to provide an annual report to GFC. GFC requests that the report include a statistical summary of cases and their dispositions and protect the confidentiality of individual cases. GFC Terms of Reference (GFC Procedures (GFC Agendas) (Reports)): “Reports not requiring action by GFC will be discussed by the Executive Committee (with committee chairs in attendance) and placed on the GFC agenda for information. If a GFC member has a question about a report, or feels that the report should be discussed by

Item No. 15A

	GFC, the GFC member should notify the Secretary to GFC, in writing, two business days or more before GFC meets so that the committee chair can be invited to attend. Such reports will be discussed as the last of the standing items." (Section 4.a.)
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Attachments

1. Attachment 1 (pages 1 – 4): General Appeals Committee (GAC) Annual Report to General Faculties Council (July 1, 2016 – June 30, 2017)

Prepared by: David Johnson, Special Advisor, Faculty and Staff Relations, david.johnson@ualberta.ca

Office of the Provost and Vice-President (Academic)
2-40 South Academic Building (SAB)
Edmonton, Alberta, Canada T6G 2G7

Tel: 780.248.1246
Fax: 780.492.1438
www.provost.ualberta.ca

Date: November 9, 2017

To: Meg Brolley
GFC Secretary and Manager of GFC Services

From: David C. Johnson
Special Advisor, Faculty and Staff Relations

Re: General Appeals Committee Annual Report 2016-2017

Attached is the 2016-2017 annual report of the General Appeals Committee, including the Summary of Cases Heard, to be presented to the General Faculties Council.



David C. Johnson, PhD

/ph

Attachment

c Michelle Strong, Director and Acting Vice-Provost, Faculty and Staff Relations
Kathleen Brough, Senior Administrative Officer

U:\AD02\GEN-AN\2017\11\09 Johnson to Brolley - annual report to GFC.docx

GENERAL APPEALS COMMITTEE

Annual Report to General Faculties Council
July 1, 2016 – June 30, 2017

The General Appeals panel members for the year were:

Dr. N. Amaral	Faculty of Science
Dr. J. Buriak	Faculty of Science
Dr. J. Considine	Faculty of Arts
Dr. G. Cummings	Faculty of Nursing
Dr. C. Deutsch	Faculty of Engineering
Dr. M. Gingras	Faculty of Science
Dr. J. Harrington	Faculty of Law
Dr. N. Krogman	Faculty of Agricultural, Life and Environmental Sciences
Dr. B. Lemire	Faculty of Medicine & Dentistry
Dr. D. Mason	Faculty of Physical Education and Recreation
Dr. M. Michalak	Faculty of Medicine & Dentistry
Dr. E. Simmt	Faculty of Education
Dr. L. Trimble	Faculty of Arts

Panel of Chairs as Provost and Vice-President (Academic) designates:

Dr. J. Considine	Faculty of Arts
Dr. K. Hegadoren	Faculty of Nursing
Professor J. Law	Faculty of Law
Dr. B. F. Mitchell	Faculty of Medicine and Dentistry
Dr. C. Skidmore	Faculty of Arts

One appeal was made under the provisions of Article 15 of the Faculty Agreement. This Article provides for appeals of Faculty Evaluation Committee decisions to be heard by the General Appeals Committee (GAC), the membership of which shall be the Provost and Vice-President (Academic) or a designate as Chair; three members from the above Panel, none of whom shall be from the same Faculty as the appellant; and two tenured staff members selected jointly by the President of the University and the President of the AASUA, who shall be from the same Faculty as the appellant.

This year there was an appeal of 0.75 increment, which is pending regarding legal question. During the last ten years, the GAC changed FEC decisions in **45%** of the cases.

Two 10-year summaries are attached for information (one by decision, and one by Faculty).

Ten-Year Summary by Faculty of Cases Heard

2007-08 to 2016-17

Faculty	Number of Appeals
ALES	3
Arts	8
Business	2
Education	1
Engineering	3
Extension	0
Medicine and Dentistry	4
Native Studies	1
Nursing	1
Pharmacy	2
Physical Education and Recreation	1
Public Health	5
Rehabilitation Medicine	2
Science	14
TOTAL:	47

Ten Year Summary
2007-08 to 2016-17

Year	Faculty	Tenure	Promotion	Increment				Faculty Total	Year Total
				0d	0	0.5	0.75		
2007-08	Science				1 G ₂	2 U		3	3
2008-09	Arts				1 G ₃			1	2
	Science				1 G ₁			1	
2009-10	Public Health					1 U		1	2
	Science				1 U			1	
2010-11	Arts			1 G ₁				1	5
	Science					1 U		1	
	Pharmacy		1 G			1 UW		2	
	Native Studies			1 G ₁				1	
2011-12	Nursing				1 U			1	8
	ALES	1 U 1 UW				1 U		3	
	Arts	1 UW	1 G			1 U		3	
	Engineering	1 (FSO) UW						1	
2012-13	Arts	1 U 1 UW						2	7
	Public Health				1 G ₃ 1 U	1 G ₂		3	
	Medicine & Dentistry	1 G	1 U					2	
2013-14	Business		1 U					1	7
	Engineering		1 U				1 U	2	
	Science	1 UW		1 U	1 G ₃ (0.25)			3	
	Medicine & Dentistry	1 G						1	
2014-15	Arts	1 G						1	6
	Science	1 G ₄						1	
	Education						1 U	1	
	Phys. Ed and Rec					1 G ₃ (0.75)		1	
	Business	1 G ₄						1	
	Rehab Medicine	1 U						1	
2015-16	Public Health			1 U				1	6
	Science	1 G		1 U			1 U	3	
	Rehab Medicine			1 G ₁				1	
	Medicine & Dentistry		1 G					1	

Year	Faculty	Tenure	Promotion	Increment				Faculty Total	Year Total
				0d	0	0.5	0.75		
2016-17	Science						1 Pending	1	1
TOTALS		14	6	6	8	9	4	47	47

LEGEND:

G	FEC decision overturned (Appeal granted)
G ₁	FEC decision overturned. Replaced with 0(b)
G ₂	FEC decision overturned. Replaced with single increment.
G ₃	FEC decision overturned. Replaced with partial increment (0.25, 0.5, 0.75)
G ₄	Extension granted
U	FEC decision upheld – FEC decision stands (Appeal dismissed)
UW	Withdrawn

OUTLINE OF ISSUE
Advice, Discussion, Information Item

Agenda Title: Annual Report of the Residence Discipline Statistics: 2016-2017

Item

Proposed by	Janice Johnson, Assistant Dean of Students, Residences
Presenter	Trent Nabe, Supervisor, Residence Life - East Campus

Details

Responsibility	Residence Services
The Purpose of the item is (please be specific)	To report on the discipline statistics from the U of A residences for the 2016-2017 academic year.
Timeline/Implementation Date	May 1, 2016 to August 31, 2017
Supplementary Notes and context	N/A

Engagement and Routing GFC CLRC - September 28, 2017

<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>Those who have been informed:</u></p> <ul style="list-style-type: none"> • Andre Costopoulos, Vice-Provost, Dean of Students • Resident students • Residence Services • Vice President, Facilities and Operations • GFC CLRC (October 26, 2017) • GFC Executive Committee (November 20, 2017) • GFC (November 27, 2017) • UAPS
	<p><u>Those who have been consulted:</u></p> <ul style="list-style-type: none"> • Sarah Wolgemuth, Assistant Dean, Student Life • Residence Services • Ancillary Services • Kathrine Huising, Associate Vice President, Ancillary Services
	<p><u>Those who are actively participating:</u></p> <ul style="list-style-type: none"> • Residence Life Staff and Student Staff • Janice Johnson, Assistant Dean of Student, Residences • Laura Huxley, Acting Manager Residence Life & Education • Trent Nabe, Supervisor, Residence Life - East Campus • Salwa Kramps, Residence Life Administrative Assistant • GFC CLRC (October 26, 2017) • GFC Executive Committee (November 21, 2017)

Alignment/Compliance

Alignment with Guiding Documents	Institutional Strategic Plan - For the Public Good, Institutional Values Strategy for Residences 2015-2040
Compliance with Legislation, Policy and/or Procedure Relevant to the Proposal (please quote legislation and include identifying section numbers)	Post-Secondary Learning Act (PSLA): The PSLA give GFC responsibility, subject to the authority of the Board of Governors, over academic affairs and over student affairs, including authority concerning student discipline. (Sections 26(1) and 31) In addition, Section 26(1)(o) states GFC “has the authority to make recommendations to the board with respect to [...] the regulation of residences and dining halls[.][...]”

	<p>Further, PSLA Section 31(1) – Student Affairs states “The general faculties council has general supervision of student affairs at a university and in particular, but without restricting the generality, the general faculties council may [...] (b) delegate its power to discipline students in any particular case or generally to any person or body of persons, subject to any conditions with respect to the exercise of any delegated power that it considers proper [...] [...]”</p> <p>2. GFC Campus Law Review Committee Terms of Reference: “Residence Discipline Reports: To receive annually reports from the student residence associations on the number and disposition of discipline cases in the residences, and forward the reports to the GFC Executive Committee. (EXEC 14 JUL 1997) Any student residence with a code or similar set of regulations is required to report annually on the operation of that code to General Faculties Council through its Campus Law Review Committee and its Executive Committee. (GFC 22 SEP 1997)”</p>
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Attachments:

1. Annual Report of the Residence Discipline Statistics

Prepared by: Trent Nabe, Supervisor, Residence Life – East Campus, trent.nabe@ualberta.ca

ANNUAL REPORT ON RESIDENCE DISCIPLINE STATISTICS 2016-2017

Submitted to the Campus Law Review Committee, September 15th, 2017.

In accordance with the Campus Law Review Committee Terms of Reference the following Residence Discipline Report summarizes the period of May 1st, 2016 to August 31st, 2017.

Residence Services has been utilizing Restorative Justice for six years now. We continue to see restorative solutions being used as the primary mechanism for addressing student conduct in our residence system. Anecdotally, our staff have also reported that student acceptance and usage of restorative language and acceptance of the concept of Restorative Justice appears to be improving as well.

Despite the successes we are seeing, we still face challenges. Last year we reported that we began utilizing Restorative Justice when dealing with Operations related issues. Such issues include: unauthorized tenants (subletting), cleanliness, and response to pest treatments. This process is continuing to develop and further training will be necessary within those units to ensure consistent application of Restorative Justice and restorative principles. We also look to continue to build capacity with our Residence Life professional staff, having lost many of our staff with significant experience in facilitating Restorative Justice in recent years.

As was reported last year, our Housing Management System software ceased support of the judicial module in July of 2016. Data becomes increasingly difficult to scrub and though we do not feel that the validity of our numbers is any less reliable, the need for a new system has become increasingly evident. When combing through this year's numbers, we realized a glitch in the calculation of last year's statistics, as the default reporting causes some incidents to be reported twice. When we scrubbed the data this year we sought to remove these duplicates. It is unclear whether the duplicates from last year were material in the overall reporting. However, we felt it important to bring to this group now that we've identified this software glitch.

We continue to track our judicial statistics using two criteria: violations, and sanctions. This allows us to more accurately reflect restorative principles in our judicial statistics. A key factor of Restorative Justice is that it does not focus on a 'rule' that was broken; instead it focuses on the harms that come from a person's actions. Accordingly, violations are based on the behaviour of the student that causes harm. Sanctions are the results of those violations. In many cases, a single restorative sanction can address the harms of several violations (for example, an apology to an entire community may be sufficient to address multiple harms caused).

In 2016/2017, we had 1,445 unique incidents. This represents a 35% increase over last year's number (1,064 unique incidents); this increase is largely due to increase in the number of reported incidents (Maintenance, Operations, student staff) without any follow-up.

For example, maintenance incidents get reported by our staff in the Housing Management System but there is rarely any follow-up initiated from our Residence Life team. Maintenance is doubly reported through another system which initiates action on their part and the reporting in our Housing Management System merely serves as a backstop but also as a means for documenting our staff's involvement in the community. The number of these types of 'none specified' incidents accounted for 49% of the unique incidents that were reported in the last year. Of the remaining 735 incidents, 517 or 70% utilized restorative solutions (Community Resolutions, Alcohol Abstinence, Apology Letters, Restitution, Behavioural Agreements, or Restorative Agreements). This is a slight reduction from last year's figure of 83%, however the continued emphasis of utilizing Restorative Justice principles for Operations related issues (ex: cleanliness, unauthorized tenants) logically explains this difference.

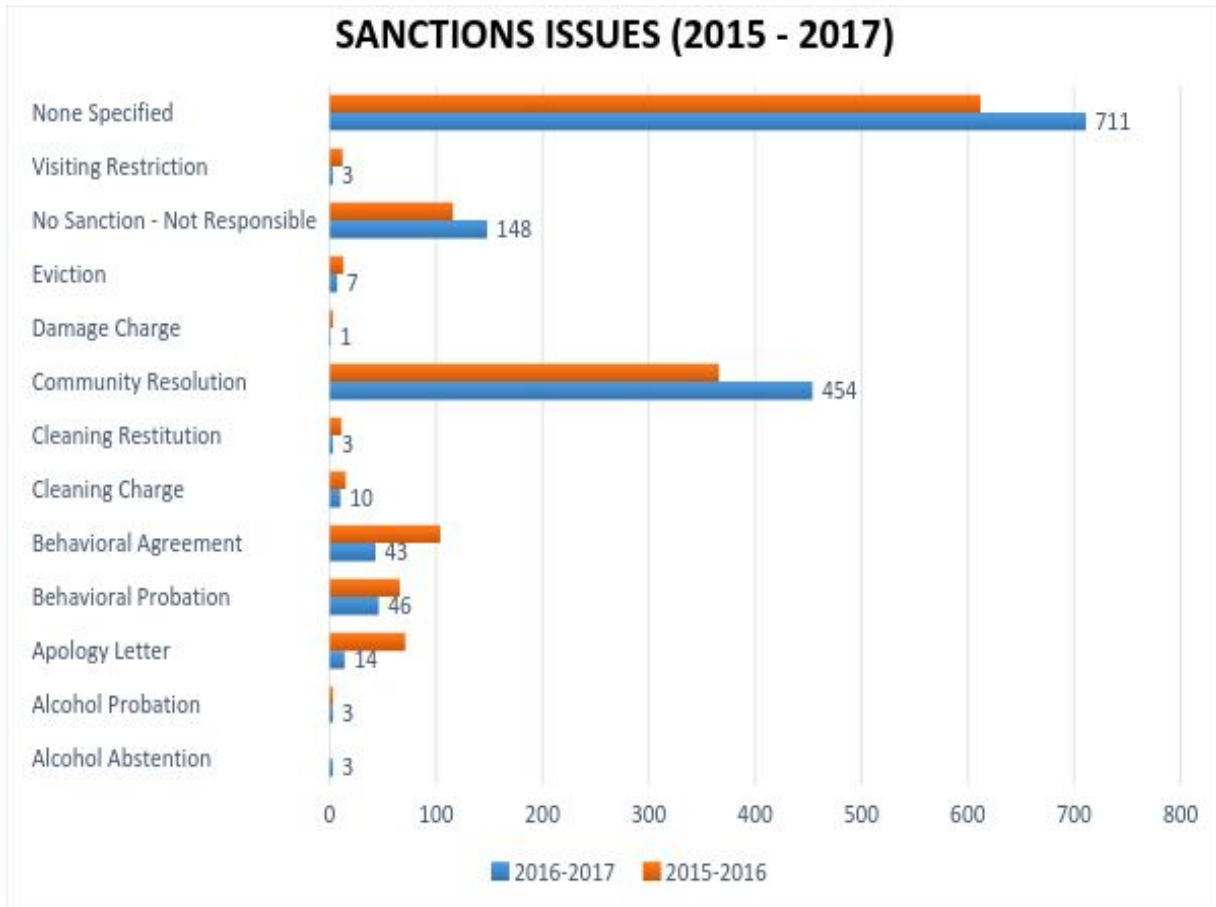
In 2016/2017, Lister continues to account for the majority of our conduct with 726 incidents or 50.24% of our total incidents originate in Kelsey, Mackenzie, Henday, or Schäffer Hall. An additional 115 or 7.9% of incidents occurred within the Lister Centre complex, bringing the total Lister incidents to 841 incidents or 58%. Considering the staffing levels and the concentration of first-year students, this is understandable and is consistent with our reporting over the past number of years.

For the second year in a row, we collected data on the number of students of concern reported in residence. Last year, in our first reporting year we identified 172 unique cases - this year, we reported 161. This continues to place significant strain on internal resources as well as the need to draw support from campus partners.

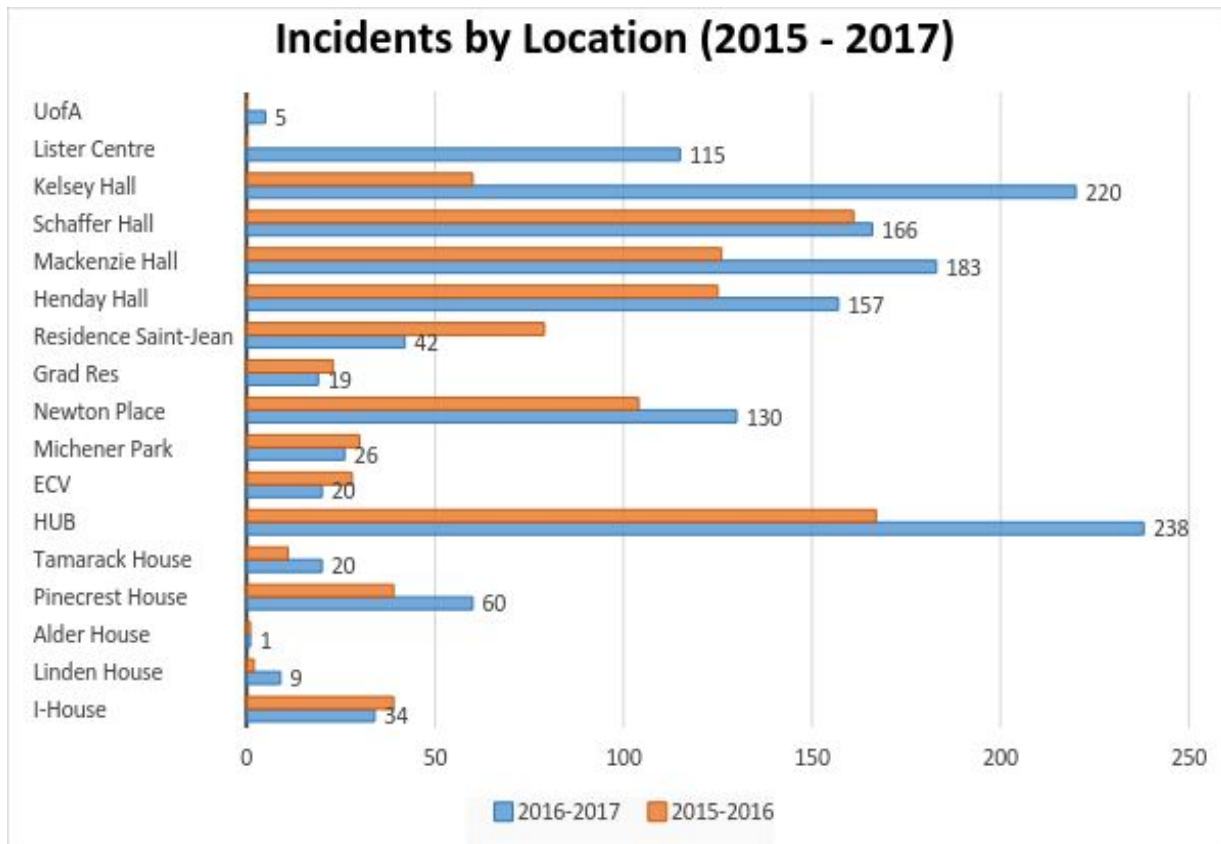
Community	Occupants (as at Sept 16 2016)	Incidents	Sanctions Issued	Students of Concern
Alder/Linden	39	10	0	0
Aspen/Maple	253	20	3	8
Grad Res	226	19	7	4
HUB	767	238	70	49
I-House	154	34	12	2
Lister	1653	841	376	87
Michener	352*	26	2	1
Newton	308	130	45	3
Pinecrest	111	60	34	3
RSJ	76	42	34	1
Tamarack	68	20	3	3
TOTAL	4007	1440	586	161

- Michener Park has about 1,100 total residents (including children) but 352 leaseholders.

Sanctions Issued:



Incidents by Location:



OUTLINE OF ISSUE
Advice, Discussion, Information Item

Agenda Title: **Student Conduct and Accountability Annual Statistical Report**

Item

Proposed by	Deborah Eerkes, Director, SCA
Presenter	André Costopoulos, Dean of Students

Details

Responsibility	Provost and Vice-President (Academic)
The Purpose of the item is (please be specific)	To provide the GFC Campus Law Review Committee (CLRC) with the annual statistics of SCA for the 2016-17 academic year.
Timeline/Implementation Date	N/A
Supplementary Notes and context	This annual report will be provided to General Faculties Council at the meeting of November 27, 2017 as an information item.

Engagement and Routing (Include meeting dates)

Participation: (parties who have seen the proposal and in what capacity)	<u>Those who have been informed:</u> <ul style="list-style-type: none"> • Michael Peterson, Appeals and Compliance Officer • GFC CLRC (October 26, 2017) • GFC Executive Committee (November 20, 2017) • GFC (November 27, 2017)
	<u>Those who have been consulted:</u> <ul style="list-style-type: none"> •
	<u>Those who are actively participating:</u> <ul style="list-style-type: none"> • GFC CLRC (October 26, 2017)

Alignment/Compliance

Alignment with Guiding Documents	Institutional Strategic Plan - <i>For the Public Good</i> , Comprehensive Institutional Plan
Compliance with Legislation, Policy and/or Procedure Relevant to the Proposal (please quote legislation and include identifying section numbers)	<p>1. Post-Secondary Learning Act (PSLA): The <i>Post-Secondary Learning Act (PSLA)</i> gives GFC responsibility, subject to the authority of the Board of Governors, over academic affairs (Section 26(1)) and over academic affairs (Section 31), including authority concerning student discipline.</p> <p>2. GFC Campus Law Review Committee (CLRC) Terms of Reference: Section 3 – Mandate of the Committee (A and B) states that GFC CLRC is “[t]o review, from time to time, the Code of Student Behaviour and student discipline procedures.”, and “[t]o review, from time to time, the Code of Applicant Behaviour.”</p> <p>4. GFC Terms of Reference (GFC Procedures/GFC Agendas/Reports): “Reports not requiring action by GFC will be discussed by the Executive Committee (with committee chairs in attendance[, as appropriate,]) and placed on the GFC agenda for information. If a GFC member has a question about a report, or feels that the report should be discussed by GFC, the GFC member should notify the Secretary to</p>

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	<p>GFC, in writing, two business days or more before GFC meets so that the committee chair can be invited to attend. Such reports will be discussed as the last of the standing items.” (Section 4.a.)</p> <p>Annual reports are made available to GFC online (GFC, February 24, 2003, Minute 14).</p>
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Attachments

1. Student Conduct and Accountability Statistical Report

Prepared by: <Deborah Eerkes, Director, SCA, deerkes@ualberta.ca>



STUDENT CONDUCT AND ACCOUNTABILITY (SCA)

STATISTICAL REPORT 2016/17 ACADEMIC YEAR

www.ualberta.ca/studentconduct



UNIVERSITY OF ALBERTA
STUDENT CONDUCT
AND ACCOUNTABILITY

MANDATE

Student Conduct and Accountability (SCA) is mandated to deal with issues around the Code of Student Behaviour. Approaching the Code in terms of awareness, prevention and student discipline, SCA strives to ensure that students understand the expectations placed upon them by the Code and are able to participate freely and fully in the university community.

When students are alleged to have engaged in behaviour that violates the Code of Student Behaviour, one of the two Discipline Officers in SCA is assigned to make a decision according to the procedures set out in the Code. Faculty Deans (or designate) make recommendations for severe sanctions in academic misconduct cases, while University of

Alberta Protective Services (UAPS) or Unit Directors make recommendations for charges and sanctions in non-academic misconduct cases. The Discipline Officer meets with the student alleged to have committed the misconduct, investigates the complaint if the facts are in dispute, and makes a finding on whether the student violated the Code. If the student is found responsible, the Discipline Officer decides what sanctions are warranted, using the recommendation from the complainant as a starting point.

Throughout the 2016/17 academic year, Deborah Eerkes and Chris Hackett were the two Discipline Officers under the Code of Student Behaviour.

DISCIPLINE CASES

The two Discipline Officers completed a total of 46 decisions in the 2016/17 academic year. In order to align the numbers with those collected by the Appeals and Compliance Officer, the decisions counted in this report include those in which the appeal deadline falls between July 1, 2016, and June 30, 2017.

The matters before the Discipline Officers are complex, often involving legal or procedural considerations. Investigations take on average 25.25 hours to complete, although the time required ranged from 7 hours for the simplest decision to 85 hours for the most complex. The majority of the cases fell within the 15-30 hour range.

Most academic violations are handled solely at the Faculty level with Intermediate Sanctions under the Code. Appropriately, only the most egregious cases are referred to SCA with recommendations for Severe Sanctions. These cases tend to be more complex in nature and often involve prior offences. Because the statistics cited herein apply strictly to Student Conduct and Accountability, any trends identified in terms of academic misconduct must not be generalized to the entire University. For a total number of academic offences that did not involve a referral to the Discipline Officer, please refer to the Appeals Coordinator's report from University Governance.

UAPS investigates allegations of non-academic misconduct, and of those that fall under the Code of Student Behaviour, sends recommendations for charges and sanctions to the Discipline Officer. In addition, Unit Directors can recommend charges and sanctions to the Discipline Officer for allegations of Inappropriate Use of University Property and Resources relating to their own units.

Finally, the Discipline Officers are responsible to make decisions in two kinds of appeals:

1. Students can appeal a UAPS Violation Notice to the Discipline Officer when they are disputing the facts. The Discipline Officer can uphold or deny the appeal, or vary the fine on the Violation Notice.
2. The second type of appeal relates to complaints made to UAPS in which the Director decides not to recommend charges under the Code. The complainant can appeal to the Discipline Officer, who makes a decision on whether it was reasonable not to lay charges under the Code, or whether an investigation should proceed. In the latter case, the Discipline Officer will initiate an investigation, make a finding and render a decision. This is a change to procedure in the Code of Student Behaviour that took effect in September 2015, and significantly simplifies the process.

TRENDS

Disposition

The 46 case files for the 2016/17 academic year showed a significant decrease from the previous year. 1 of those cases was a student appeal, and did not involve charges against a student. The complexity and seriousness of the offences is reflected in the sanctions imposed in the remaining 45 cases, including 5

expulsions, 3 exclusions, 14 suspensions, 28 orders of conduct probation, 1 suspension of services, 1 order of restitution and one case in which no additional sanctions were imposed. Charges were dismissed in 5 cases.

Fig. 1 Disposition of Decisions of the Discipline Officer

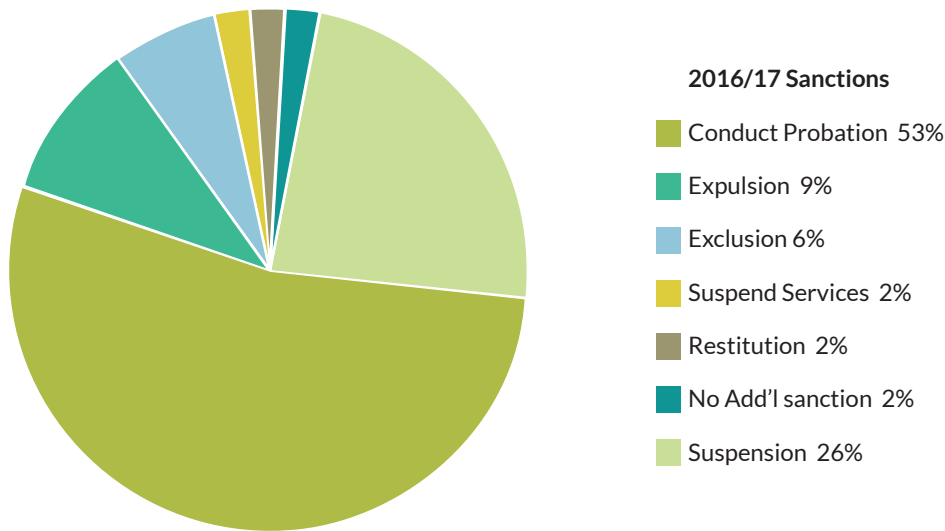


Fig. 2 Severe Sanctions - 3 year comparison

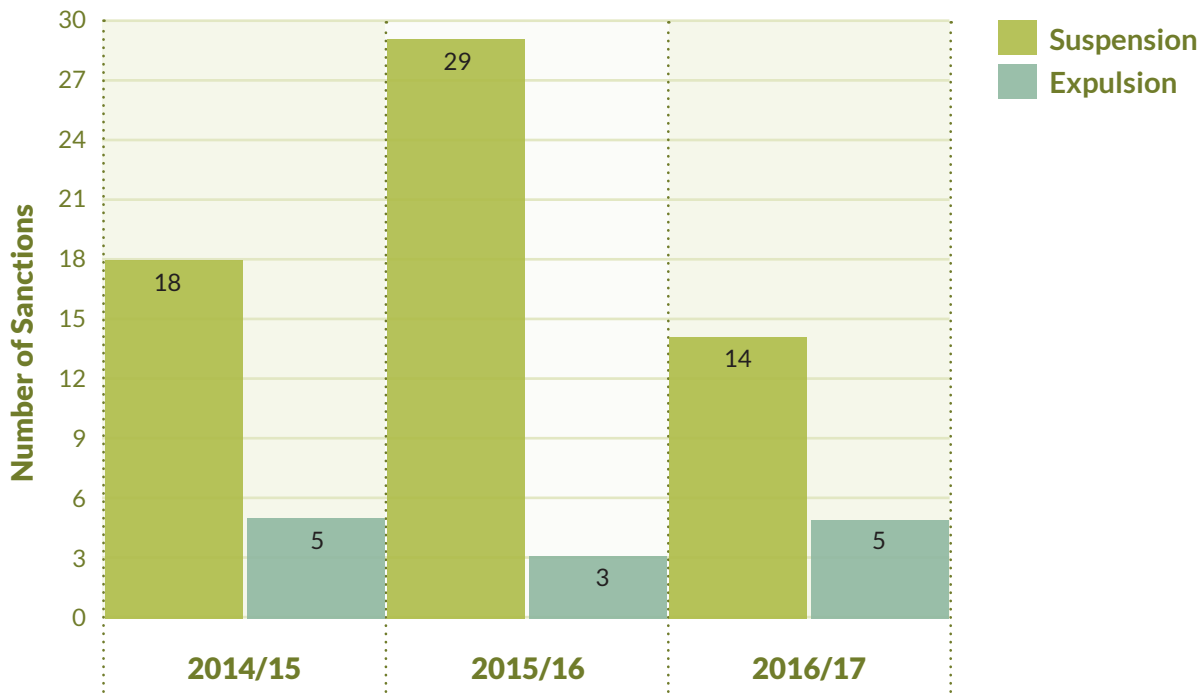


Fig. 3 Disposition of Decisions of the Discipline Officer – 3 year comparison

Note: Some cases result in multiple sanctions, therefore the total number of sanctions imposed (58) is greater than the number of cases (45).

DISCIPLINE OFFICER SANCTION*	NUMBER IMPOSED		
	2014/15	2015/16	2016/17
Expulsion	5	3	5
Suspension	18	29	14
Conduct Probation	27	45	28
Fine	2	3	0
Exclusion	7	9	3
Suspension University Resources	0	0	1
Restitution	2	2	1
Reprimand	0	0	0
Charges upheld; no additional sanctions	0	0	1
Charges dismissed; no sanction	4	3	5
Total Sanctions	65	94	58

* In addition to any sanctions imposed by Dean or Unit Director

Of the 45 cases involving charges, 1 was appealed to the University Appeal Board (UAB), and that appeal was denied.

Case Type

Faculties submitted 19 of our 46 files in which students were charged with academic offences, while roughly 60% came

from University of Alberta Protective Services (non-academic misconduct). See Fig. 4 below for a three year comparison.

Fig. 4 Origin of Cases

	COMPLAINANT	NUMBER OF CASES COMPLETED		
		2014/15	2015/16	2016/17
ACADEMIC	Agricultural, Life and Environmental Sciences	2	0	1
	Arts	6	10	8
	Augustana	0	2	0
	Business	1	6	1
	Engineering	1	1	1
	Extension	2	2	0
	Faculty of Graduate Studies and Research	3	1	3
	Nursing	0	0	1
	Pharmacy	0	0	1
	Science	3	1	3
NON-ACADEMIC	University of Alberta Protective Services	25	35	26
	Student - Appeal of Violation Notice	0	1	0
	Student - Appeal of UAPS decision not to proceed	N/A	2	1

Of the 19 cases of academic misconduct, 13 had prior offences and 1 had no record of prior offences but was found to have committed multiple offences simultaneously. The remaining 5 violations were deemed sufficiently serious to warrant a severe sanction for a first offence.

Gender

As is often the case, gender plays a role in non-academic offences: 25 out of 26 students who committed non-academic offences were male, 1 was female. Academic offences were roughly evenly split between the genders.

Fig. 5 Case by Type and Gender (excluding student appeals)

		MALE	FEMALE
2014/15	Academic	13	6
	Non-Academic	20	5
2015/16	Academic	13	10
	Non-Academic	22	13
2016/17	Academic	10	9
	Non-Academic	25	1

Gender-Based Violence

Of the 18 charges of Violation of Safety or Dignity, 13 involved gender-based violence. The nature of the conduct included sexual harassment, threats of violence, creating a condition that threatens the safety or wellbeing of others, and sexual assault.

It must be understood that this number refers to only **complaints** made under the *Code of Student Behaviour* to University of Alberta Protective Services, which are investigated and forwarded to the Discipline Officer with recommendations for charges and sanctions. Thus, it represents a very specific part of the picture of sexual violence at the University of Alberta. *Code* charges can only be applied when 1) the person under allegation

is a Student as defined by the *Code*, and 2) there is a “real and substantial link” to the University.

In addition, many who experience sexual violence choose only to **disclose** (without making a complaint) or not to tell anyone. The *Sexual Violence Policy*, which came into effect in June 2017, has made clear that students, staff and faculty will have access to support by the University whether they disclose or make a complaint of sexual violence. Note that the incidents recorded in this reporting year occurred before the implementation of the *Sexual Violence Policy* and, therefore, are being reported using the definitions under the *Code*.

International Students

International students figured prominently as well: overall, 44% of the students seeing a Discipline Officer in 2016/17 were international students. The offences for which they were being charged weighed more heavily toward serious academic offences (12) than non-academic offences (8).

Fig. 6 International students by case type – 3 year comparison

	2014/15	2015/16	2016/17
Academic	11	10	12
Non-academic	12	16	8
Total International students	23	26	20

Advisors

Students are entitled to bring an Advisor of their choice with them to meetings and hearings throughout the Code of Student Behaviour process. In 2016/17, 9 students brought advisors to their meetings with the Discipline Officer, all of them from

the Office of the Student Ombuds. Despite multiple reminders that they have the right to an Advisor of their choice, fully 78% of the students either declined to meet or attended their meetings without one.

Year of Study

Of the 45 cases in which students were charged under the Code, those students in upper years were more likely to commit serious academic misconduct (either had a prior offence or committed a serious first offence). By contrast, non-academic offences were spread relatively evenly over the year, being most common in 2nd or 3rd year. In total, 6 first-year students, 7 second-year students, 11 third-year students, and 1 fourth-year students committed violations. In addition, 5 graduate students – 3 in Doctoral programs and 2 working toward Masters’ degrees – were referred to SCA last year. Five (5) other Students who were in the “N/A” category (Open Studies, After Degree programs or the Faculty of Extension), were required to meet with a Discipline Officer. See Figure 7 below for a three year comparison.

Fig. 7 Case Type by Student Year of Program (excluding student appeals)

		ACADEMIC	NON-ACADEMIC
2014/15	1	2	7
	2	3	4
	3	2	1
	4	4	5
	5	0	0
	Masters	1	1
	PhD	3	4
	N/A	4	3
	TOTAL	19	25
2015/16	1	3	6
	2	7	16
	3	1	1
	4	4	6
	5	0	0
	Masters	4	3
	PhD	1	1
	N/A	3	2
	TOTAL	23	35
2016/17	1	2	4
	2	1	6
	3	5	6
	4	7	4
	5	0	0
	Masters	1	1
	PhD	2	1
	N/A	1	4
	TOTAL	19	26

Charges Considered

Charges recommended to the Discipline Officers included plagiarism, cheating, misuse of confidential materials, research and scholarship misconduct, inappropriate behaviour in a professional program, disruption, dissemination of malicious material, unfounded allegations, violation of safety or dignity, damage to property, unauthorized use of facilities, equipment,

materials, services or resources, misrepresentation of facts, and participation in an offence. Of the 75 charges considered, most were upheld; however, a total of 12 charges were dismissed, either because the charge was not made out or the offence did not fall within the authority of the Code of Student Behaviour.

Fig.8 Charges under the Code

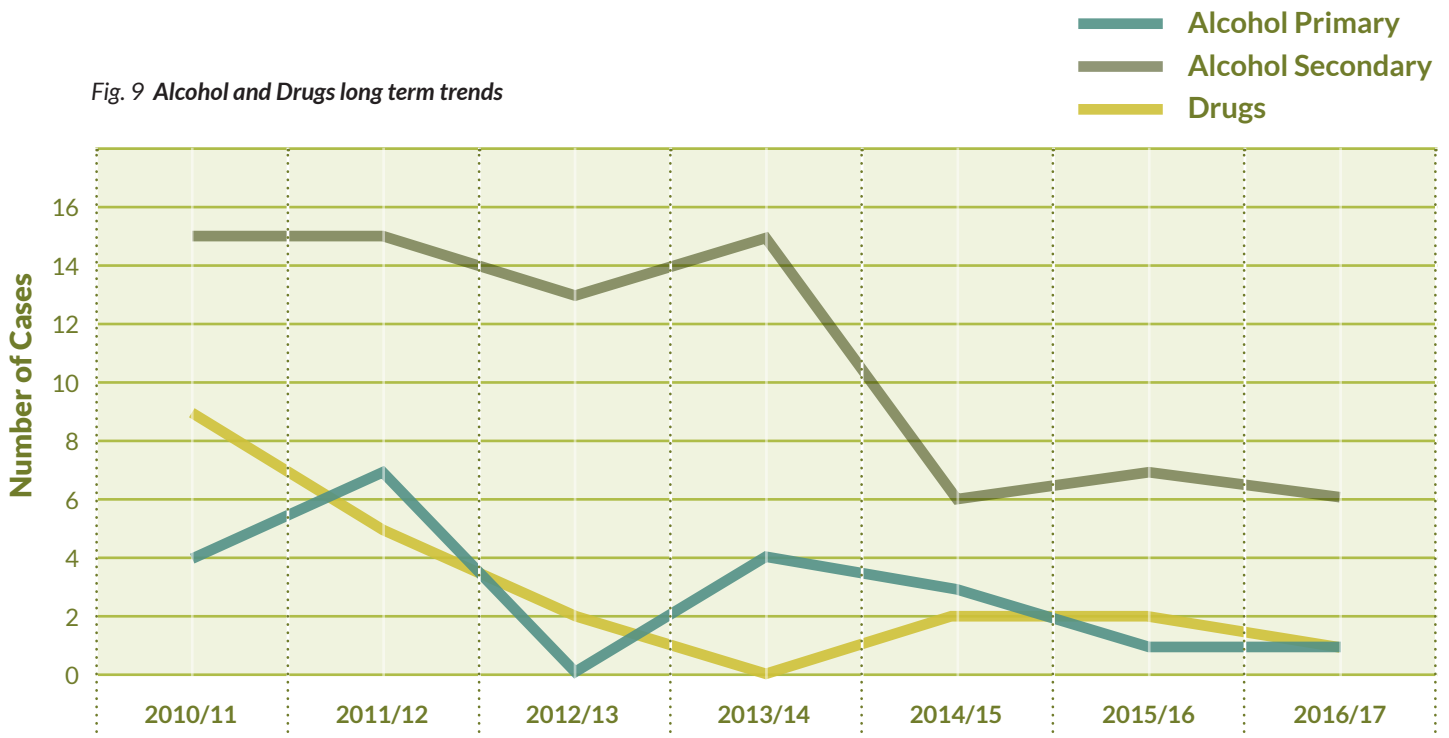
Some cases contain multiple charges against a student, therefore the total number of charges considered (75) is higher than the number of cases (46).

CHARGES CONSIDERED	2014/15	2015/16	2016/17
Plagiarism	10	20	8
Cheating	14	8	15
Misuse of Confidential Materials	10	1	1
Inappropriate Behaviour in Professional Program	0	0	4
Research and Scholarship Misconduct	1	0	1
Disruption	6	2	4
Discrimination	0	0	0
Dissemination of Malicious Material	1	2	1
Unfounded Allegations	0	0	2
Violations of Safety or Dignity	28	62	26
Hazing	0	0	0
Retaliation	0	1	0
Damage to Property	5	4	5
Unauthorized Use of Facilities, Equipment, Materials, Services or Resources	1	2	4
Alcohol Provision	0	1	0
Breach of Rules External	11	2	0
Identification	0	0	0
Misrepresentation of Facts	5	2	2
Participation in an Offence	1	13	2
Bribery	0	2	0
Total charges considered	93	122	75
Charge Dismissed	20	11	12
Total Charges Upheld	73	111	63

Alcohol and Drugs

Alcohol and drug related offences have continued their downward trend. Of the 45 cases involving charges against students, only one was directly related to alcohol (that is, violations like public intoxication or open alcohol, in which alcohol was the determining factor) and 6 were indirectly related to alcohol (that is, students reported committing the offence while intoxicated, and therefore alcohol was a

contributing factor only). One additional incident was related to drugs. It should be noted that these offences may be addressed outside of the *Code of Student Behaviour* (e.g. through the Residence Community Standards, or UAPS Violation Notices) so these numbers may not reflect any trend other than the number of charges going through the Code. See Fig. 9 below for a long-term comparison.



Mental Health

Always of concern is the intersection between mental health and conduct. While this cannot be accurately tracked by SCA, 13 of the 45 students we met with this year self-reported mental health issues, ranging from life-altering addictions to diagnosed mental illnesses, for which they were being treated.

There is no way to know how many other students are struggling with mental health concerns, but it is important to continue working with UAPS, HIAR and the Dean of Students to ensure that these students have access to the assistance they need.

OUTLINE OF ISSUE
Advice, Discussion, Information Item

Agenda Title: **Annual Report of the Appeals and Compliance Officer (2016-2017)**

Item

Proposed by	Michael Peterson, Appeals and Compliance Officer, University Governance
Presenter	Michael Peterson, Appeals and Compliance Officer, University Governance

Details

Responsibility	Provost and Vice-President (Academic)
The Purpose of the item is (please be specific)	To provide Committee members with the annual report of statistical information on discipline cases, as required by GFC policy.

Engagement and Routing (Include meeting dates)

Participation: (parties who have seen the proposal and in what capacity)	<ul style="list-style-type: none"> • GFC Campus Law Review Committee, October 26, 2017 (for discussion); • GFC Executive Committee, November 20, 2017 (for discussion); • General Faculties Council, November 27, 2017 (for information); • Board Learning and Discovery Committee, December 1, 2017 (for discussion)
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Alignment/Compliance

Alignment with Guiding Documents	<p><i>For the Public Good</i></p> <p>GOAL: Sustain our people, our work, and the environment by attracting and stewarding the resources we need to deliver excellence to the benefit of all.</p> <p>OBJECTIVE 21: Encourage continuous improvement in administrative, governance, planning, and stewardship systems, procedures, and policies that enable students, faculty, staff, and the institution as a whole to achieve shared strategic goals.</p> <p>Strategy i: Encourage transparency and improve communication across the university through clear consultation and decision-making processes, substantive and timely communication of information, and access to shared, reliable institutional data.</p> <p>Strategy ii: Ensure that individual and institutional annual review processes align with and support key institutional strategic goals.</p>
Compliance with Legislation, Policy and/or Procedure Relevant to the Proposal (please quote legislation and include identifying section numbers)	<ol style="list-style-type: none"> 1. Post-Secondary Learning Act (PSLA): The <i>Post-Secondary Learning Act (PSLA)</i> gives GFC responsibility, subject to the authority of the Board of Governors, over academic affairs (Section 26(1)) and over student affairs (Section 31), including authority concerning student discipline. 2. GFC CLRC Terms of Reference

(5. Reporting Requirements):

“Discipline Cases: University Governance has been asked by the GFC Executive to attempt to have all appeal Boards (UAB, GFC AAC and GFC PRB) report to GFC at the same meeting, through the GFC Campus Law Review Committee (CLRC).

The Appeals Coordinator on behalf of the Campus Law Review Committee will submit annually to GFC in the fall, statistical information on discipline cases dealt with by Faculties, the Discipline Officer, the Registrar, Unit Directors, the University Appeal Board and the GFC Practice Review Board. The discipline reports will include the year of the student, the offence with which they were charged and the outcome, but not any personally identifying information. When reporting statistics for applicants, the offence with which the applicant is charged and the outcome, but not any personally identifying information, will be provided. As far as is practical, comparative information from the most recent reporting period will be included.”

3. GFC Executive 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.”

“2. Routine Matters

Matters which are routine in carrying out the policies approved by General Faculties Council are delegated to the Executive Committee.”

4. GFC Terms of Reference

(4. GFC Procedures/GFC Agendas/ a. Reports):

“Reports not requiring action by GFC will be discussed by the Executive Committee (with committee chairs in attendance) and placed on the GFC agenda for information. If a GFC member has a question about a report, or feels that the report should be discussed by GFC, the GFC member should notify the Secretary to GFC, in writing, two business days or more before GFC meets so that the committee chair can be invited to attend. Such reports will be discussed as the last of the standing items.”

Annual reports are made available to GFC online (GFC, February 24, 2003, Minute 14).

5. Board Learning and Discovery Committee (BLDC) Terms of Reference/Mandate of the Committee

(Section 3):

“Except as provided in paragraph 4 hereof and in the Board’s General Committee Terms of Reference, the Committee shall, in accordance with the Committee’s responsibilities with powers granted under the *Post-Secondary Learning Act*, monitor, evaluate, advise and make decisions on behalf of the Board with respect to matters concerning the teaching and research affairs of the University, including proposals coming from the administration and from General Faculties Council (the “GFC”), and shall consider future educational expectations and challenges to be faced by the University. The Committee shall also include any other

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	<p>matter delegated to the Committee by the Board. Without limiting the generality of the foregoing the Committee shall: [...] e. review and approve the Code of Student Behaviour, the Code of Applicant Behaviour and the Practicum Intervention Policy; [...] g. undertake studies and review academic matters that pertain to the quality of the educational experience at the University; h. monitor educational and research trends, community expectations and demands; [...] j. ensure that the academic teaching and research activities at the University are administered and undertaken in a manner consistent with the vision and mission of the University; k. consider future educational expectations and challenges to be faced by the University[.] [...]"</p>
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Attachments

1. Annual Report of the Appeals and Compliance Officer (2016-2017) (4 pages)
2. Index of Attachments (10 pages)

Prepared by: Michael Peterson, University Governance, Michael.peterson@ualberta.ca

ANNUAL REPORT OF APPEALS AND COMPLIANCE OFFICER**2016 – 2017**

Scope

This report covers the period of July 1, 2016 to June 30, 2017. Some statistics for previous years are also included for comparison.

This report sets out information about discipline decisions and the appeal process under the Code of Student Behaviour (COSB) and the Code of Applicant Behaviour (COAB), with a focus on the university appeal level of the University Appeal Board (UAB). This report also sets out information for the two other university level appeal bodies, the General Faculties Council Academic Appeals Committee (GFC AAC) and the General Faculties Council Practice Review Board (GFC PRB).

Role of the Appeals Coordinator

As Appeals and Compliance Officer, I carry out the role of the Appeals Coordinator under the COSB, COAB, University of Alberta Academic Appeals Policy and University of Alberta Practicum Intervention Policy for the UAB, GFC AAC and GFC PRB. In this role I am neutral and do not advocate for either party in an appeal. I facilitate or administer the appeal process steps from the time an appeal is received, through the hearing and decision made by an appeal panel, to distribution of the written decision. I also provide procedural information to the parties to an appeal and to the appeal panel throughout the appeal process.

Apart from individual appeals, I oversee the university level appeal system to ensure that the university continues to implement a fair process by which to address appeals. This includes helping to educate panel members as to the framework within which they work when hearing appeals and helping the university community understand that framework.

University Level Appeal Process

The university level appeal system is made up of three appeal bodies – the UAB, the GFC AAC and the GFC PRB.

Discipline decisions arise as a result of a student being charged with an offence (academic and/or non-academic) under the COSB or COAB. When the appropriate decision-maker has made a final decision finding an offence and imposing a sanction, the parties to that decision have a final appeal to the UAB.

The UAB generally hears appeals from students charged under the COSB or COAB who disagree with the discipline decisions. UAB decisions are final and binding, within the university, subject to judicial review. Under the COSB the UAB has the broad authority to determine whether an offence was committed and to confirm, vary or quash sanctions imposed.

Under the Academic Appeals Policy, academic standing issues are heard by the GFC AAC. The GFC AAC hears appeals from students wishing to appeal faculty decisions on matters of academic standing, including matters such as a requirement to withdraw, denial of graduation or promotion. The GFC AAC hears appeals from students after they have exhausted all other avenues of appeal within a faculty. GFC AAC decisions are final and binding, within the university, subject to judicial review. The authority of the GFC AAC is to uphold (and award any remedy not contrary to faculty rules) or deny an appeal depending upon whether a miscarriage of justice, as defined by the Academic Appeals Policy, occurred within the faculty process.

Under the Practicum Intervention Policy, appeals concerning practicum interventions are heard by the GFC PRB. The GFC PRB's decisions are final and binding, within the university, subject to judicial review.

Principles of the Appeal Process

Appeals at the university level deal with complex issues affecting students, faculties and the university as a whole. Given this impact, and the fact that this final level of appeal is the last opportunity for issues to be heard within the university, it is very important that the appeal process is fair and perceived to be fair. Coming to decisions through a fair process also promotes confidence in those decisions by the parties and the appeal panels themselves. Being the final level of appeal, the decisions or process may also be subject to judicial scrutiny.

The authority of the appeal bodies (UAB/GFC AAC/GFC PRB) flows from the powers delegated under the *Post-Secondary Learning Act*. The appeal bodies carry out their authority as outlined in the applicable university appeal policy, in keeping with the principles of administrative fairness. The principles of administrative fairness are the basis for our appeals policies, help us to interpret those policies and provide the framework within which our appeal panels make decisions.

The formal steps of our appeals process recognize the impact and finality of these decisions and ensure the opportunity for parties to an appeal to make their best cases and be heard. Our appeals process is not a court process, but has been designed to allow for students and university decision-makers to be able to be heard by an objective panel coming from the university community. The system is flexible in that it is able to deal with a wide variety of appeals and circumstances (from students and university staff representing themselves or being helped by an advisor of their choosing) through consistently applying basic principles of administrative fairness. At its core, our appeals system involves the parties fully making their cases in writing and knowing the case of the other side before an appeal hearing takes place, then appearing at a hearing where they are able to present their arguments and information, subject to questioning, before an objective appeal panel. (The UAB process also allows for the option of a paper-only or documentary review hearing, rather than an in-person hearing, when only the severity of sanction,

and not the offence, is being appealed.) The appeal panel then considers and weighs all of the submissions of the parties and comes to a decision, which it fully explains to the parties in writing. If any process issues or requests arise before or during a hearing, the appeal panel chair (sometimes with the full appeal panel) decides how to fairly address the issues, keeping in mind the relevant appeals policy and the principles of administrative fairness, including the aim of providing both parties a fair opportunity to be heard.

Current Statistics

Looking at the attached statistics, this year saw a small decrease in the number of UAB appeals but a similar overall number of appeals received at the university level compared to the previous year. Compared to the previous year, 2016-2017 also saw a decrease in the number of discipline decisions made by Deans and Discipline Officers (381 this year versus 429 the previous year), with the majority of those decisions concerning the academic offences of plagiarism and cheating. Although not statistically tracked, a significant number of appeals are received from international students.

While the provided statistics include general outcomes of the appeals heard, caution should be used before taking any trends from these outcomes. The sample size is very small and each case was decided on its own unique merits, with the resulting statistics providing simply a snapshot of the outcomes for those particular cases heard and decided.

Appeal Panel Membership

The university level appeal panels are made up of volunteer panel members. While the exact makeup of a panel depends on the applicable appeal policy, generally the panels are a combination of undergraduate/graduate students and academic staff selected from the university's appeal panel membership lists. (Membership is determined by an application process and ultimately by approval of applicants by GFC.) Members serve on approximately six appeal panels within a calendar year, but this number varies depending on the number of appeals received and the faculties involved. Appeal panel members come from the greatest possible variety of faculties and the broadest possible representation of the university community. For objectivity, no appeal panel member may sit on an appeal involving a party from their faculty. Appeal hearings are scheduled throughout the academic year, including summer, mostly in evenings around academic schedules. Student panel members usually serve for terms of two years, while academic staff panel members usually serve for terms of three years (with the possibility of serving additional terms).

In addition to their understanding of the university environment from their experience as students (both undergraduate and graduate) and academic staff, our panel members are provided ongoing training in understanding the principles of administrative fairness within which their tribunals operate. This helps to ensure that, as discussed above, the appeal process is a fair one.

The service of appeal panel members is a significant commitment, including considering and addressing procedural issues arising before and during hearings, conducting hearings, deliberating and drafting written reasons for

decisions. All of our panel members recognize the need to objectively hear submissions from parties to an appeal, analyze and weigh evidence, then come to reasonable decisions based on that evidence. Part of my role is to ensure that appeal panels have all the needed resources to perform their role. I thank all of our appeal panel members for their commitment and service to our university community. Their work is a very important contribution to fostering and maintaining the values of the university, for all members of our community.



Michael Peterson

Appeals and Compliance Officer

University Governance, University of Alberta

October 18, 2017

Attachments: Statistics for Discipline Decisions and the University Level Appeal Process

[Statistics based upon year of appeal deadline.]

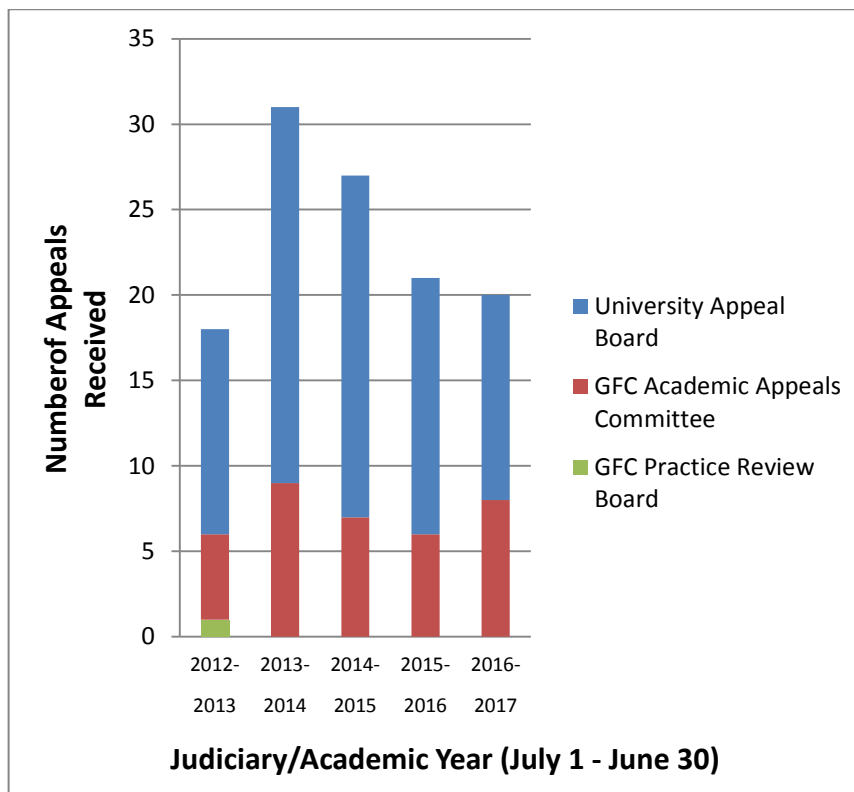
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Figure 1

Number of Appeals Received by University Governance

Judiciary/Academic Year (July 1 - June 30)	2012- 2013	2013- 2014	2014- 2015	2015- 2016	2016- 2017
University Appeal Board	12	22	20	15	12
GFC Academic Appeals Committee	5	9	7	6	8
GFC Practice Review Board	1	0	0	0	0
TOTAL NUMBER OF APPEALS	18	31	27	21	20



Notes:

- These numbers reflect the number of appeal cases.
- An appeal case can include more than one offence and a student can appeal the offence(s), severity of sanction(s), or both the offence(s) and severity of sanction(s).

Figure 2

**UAB Disposition of Appeals
July 1, 2016 to June 30, 2017**

Appeal Upheld	4
Appeal Denied	7
Appeal in Progress (Undetermined)	0
Appeal Withdrawn	1
Total Appeal Cases	12

Sanction Increased	0
Sanction Decreased	3
Sanction Timing Varied	1

- As students can be charged with and appeal more than one offence, and because appeals may concern the offence(s), severity of sanction(s), or both, the total number of appeal cases and how sanctions were addressed will not necessarily match.
- If sanctions were not increased/decreased/timing varied, the sanctions were confirmed and stayed the same; if the offence appeal was upheld, there were no sanctions.
- The Governance discipline database does not track the disposition of appeals by issue i.e. it cannot track disposition by the multiple issues of offence(s) and/or severity of sanction(s). If an appeal is upheld on any one issue, it is categorized as "Appeal Upheld". To provide the most accurate picture, I have calculated the disposition of appeals by issue as follows:

Issues of Appeal	Appeal Upheld	Appeal Denied
Offence(s)	1	6
Severity of Sanction(s)	4	6

Figure 3

**GFC AAC Disposition of Appeals
July 1, 2016 to June 30, 2017**

Appeal Upheld	1
Appeal Denied	5
Returned to Faculty	0
Taken Back by Faculty	1
Appeal Withdrawn	1
Appeal in Progress	0
Total Appeals	8

- “Returned to Faculty” means the GFC AAC decided at the appeal hearing to return the matter to the Faculty Academic Appeals Committee for re-hearing, based upon new evidence being introduced at the appeal hearing.
- “Taken Back by Faculty” means the student provided new information as part of the appeal and, before the GFC AAC hearing, the Faculty chose to reconsider the matter at the Faculty level.

Figure 4

**GFC PRB Disposition of Appeals
July 1, 2016 to June 30, 2017**

Appeal Upheld	0
Appeal Denied	0
Total Appeals	0

Figure 5

**Category of Sanction by Decision Maker Under COSB
July 1, 2016 to June 30, 2017**

Sanction Type Description	Count	Final Decision By
DO dismissed charges	1	Discipline Officer
Exclusion	3	Discipline Officer
Less Than Suspension or Expulsion	337	Dean
Less Than Suspension or Expulsion	18	Discipline Officer
Less Than Suspension or Expulsion	8	UAB
No Sanction Imposed by Dean	2	Dean
No Sanction Imposed by DO	1	Discipline Officer
Rescind Offer of Admission	1	Dean
Suspension or Expulsion	18	Discipline Officer
Suspension or Expulsion	1	UAB
UAB dismissed charge	1	UAB

Figure 6

**COSB Discipline Decisions
July 1, 2016 to June 30, 2017**

Charge/Offence Description	1	2	3	4	5	GS N/A	N/A	N/A Applicant
Cheating	41	45	23	15		1	9	
Misrepresentation of Facts	3	5				4	2	
Participation in an Offence	1	7	6	3			1	
Plagiarism	81	71	50	19		19	8	
Inappropriate Behaviour in Professional Programs				1				
Misuse of Confidential Materials			1	1				
Research and Scholarship Misconduct						2		
Breach of Rules External to the Code			1					
Damage to Property	1	1	1				1	
Disruption		1	3	1		1		
Dissemination of Malicious Material		1		2				
Unauthorized Use of Facilities, Equipment, Materials, Services or Resources	1		2			1		
Violations of Safety or Dignity	3	4	2	4		2	4	

- Columns 1 through 5 refer to year of program of student when offence occurred.
- GS N/A refers to graduate student not applicable (i.e. no program year).
- N/A students are students in Open Studies, Faculty of Extension, Visiting Students, Previous Students and Special Students.
- N/A applicant refers to students reapplying who have been charged with offence re application; do not have a year of program.
- A student can be charged with more than one offence, so charges and case numbers will differ.

Figure 7

**COAB Discipline Decisions
July 1, 2016 to June 30, 2017**

Charge Description	COAB Applicants
Misrepresentation of Facts	3

Figure 8

**Cases Reviewed by Deans, University of Alberta Protective Services,
Discipline Officers, Registrar, and the UAB Under COSB
July 1, 2016 – June 30, 2017**

Decision Maker	Forwarded By	Count
Dean	Not Applicable	340
Discipline Officer	Dean	19
	UAPS	22
UAB	Not Applicable	10

- In all cases where a sanction of suspension or expulsion has been recommended by a Dean the case goes to the Discipline Officer for review and adjudication.

Figure 9

**Cases Reviewed Under COAB
July 1, 2016 – June 30, 2017**

Decision Maker	Forwarded By	Count
Dean	Not Applicable	2
UAB		1

Figure 10

**Charge Count by Category of Sanction and Decision Maker Under COSB
July 1, 2016 – June 30, 2017**

Decision Maker	DO dismissed charges	Exclusion	Less Than Suspension or Expulsion	No Sanction Imposed by Dean	No Sanction Imposed by DO	Rescind Offer of Admission	Suspension or Expulsion	UAB dismissed charge
Agricultural, Life and Environmental Sciences			4					
Arts			108				9	1
Augustana			14					
Business			8					
Education			8					
Engineering			40	2			5	
Extension			49					
Graduate Studies and Research			6			1	3	
Law			1					
Medicine and Dentistry			5					
Nursing			4				1	
Pharmacy and Pharmaceutical Sciences							1	
Physical Education and Recreation			1					
Science	1		146				7	
UAPS		5	22		1		1	

Figure 11

**Case Count by Category of Sanction and Decision Maker Under COSB
July 1, 2016 – June 30, 2017**

Decision Maker	DO dismissed charges	Exclusion	Less Than Suspension or Expulsion	No Sanction Imposed by Dean	No Sanction Imposed by DO	Rescind Offer of Admission	Suspension or Expulsion	UAB dismissed charge
Agricultural, Life and Environmental Sciences			4					
Arts			95				6	1
Augustana			14					
Business			8					
Education			8					
Engineering			37	2			2	
Extension			45					
Graduate Studies and Research			6			1	3	
Law			1					
Medicine and Dentistry			5					
Nursing			4				1	
Pharmacy and Pharmaceutical Sciences							1	
Physical Education and Recreation			1					
Science	1		118				5	
UAPS		3	17		1		1	

Figure 12

**Charge Count by Category of Sanction and Decision Maker Under COAB
July 1, 2016 – June 30, 2017**

Decision Maker	COAB - Refuse Application up to 5 years	COAB - Reprimand
Graduate Studies and Research	1	1
UAB	1	

Figure 13

**Case Count by Category of Sanction and Decision Maker Under COAB
July 1, 2016 – June 30, 2017**

Decision Maker	COAB - Refuse Application up to 5 years	COAB - Reprimand
Graduate Studies and Research	1	1
UAB	1	